Iowa Department of Administrative Services- Human Resources Enterprise

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Workforce Planning Guide

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DAS

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Section 1

Overview

A. Overview of this Guide

This guide has two purposes:

- To introduce you to workforce planning and explain how it relates to sound business processes and human resource management.

- To provide a "how-to" approach to workforce planning.

As you will read in the "Workforce Planning Overview" below, there are four phases of human resource management. Workforce planning is addressed in each phase. Four sections in the central portion of this guide, Sections 3-6, correspond with those phases. Each of these sections describes how to do workforce planning for that phase of resource management as well provides an explanation of how that particular phase relates to the overall human resource management cycle portrayed on Page 7. By the time you have completed these sections, you will have received the instructions and background information you need to complete a workforce plan.

Although it is recommended that you review sections 3-6 as well as Sections 7-9 before beginning a workforce plan, if time and resources are limited, Section 10 has been included as a template for the plan and can be undertaken immediately without reviewing the other sections. In going directly to Section 10, however, you run the risk of lacking the basic understanding of the significance of the data to be included.

This guide also addresses the role that data, competencies, and human resource strategies play in each phase of human resource management and how they relate to workforce planning. Each section includes reference to these areas.

B. Workforce Planning Overview

Workforce planning is part of the larger cycle of business planning organizations pursue to implement, maintain, develop, modify and even close down their operations. The cycle starts with the strategic plan, the organization's vision of its operations. From that is extracted how the operation will work: customers, business lines, products, services, results, and processes. These components determine "the right work" to be done. From there, the organization determines how it will be structured to best do "the right work" and identifies the resources needed to accomplish that work.

Those "resources" include funding, facilities, inventory, and the people needed to do the work, the "right people" with the "right skills." Budget, capital, purchasing, and technological planning all come into play at this point. Planning for the people needed to do the work is also an integral part of this phase. The end result?

The right people with the right skills are in the right jobs at the right time.

Let's talk about that phrase before moving on, because it seems to be used with almost every publication, resource, or explanation of workforce planning, to the point where it may have taken on the status of a truism (a self-evident truth), which it isn't. It is goal, a goal managers and supervisors, human resource specialists and workforce planners strive for, although the realities of our organizational operations may not always support its attainment. For one thing, the statement assumes that the necessary resources are available to bring the "right people" on board in the "right jobs" at the "right time." That isn't always the case. Tight or limited budgets may preclude or defer filling vacancies at the right time. Salary, pay and market constraints may not always support our being able to hire, promote, develop or retain the "right person."

In addition, Iowa state government functions within a union environment, and the State has agreed through collective bargaining negotiations to practices desired by the union, such as union transfers and recall provisions, which automatically designate how some vacancies will be filled.

This manual focuses on the times when these other considerations don't apply, although it recognizes their reality and presence in our system.

The overall process of workforce planning is fairly straightforward. It involves the following stages:

I. **Strategic Planning** – This is the forward-thinking phase where the organization and/or the workforce planner anticipates the workforce of the future based on directions defined in the organization's strategic plan. In addition, this is the stage where the workforce planning project is planned and defined in terms of scope, resources available, roles and responsibilities and leadership support.

II. **Workforce Analysis** – This is the point where data about the current workforce is collected and analyzed as well as the need for future staff and future skills sets is projected and contrasted to current capacity.

III. **Implementation** – This stage begins with the identification of strategies to address whatever gaps or workforce-related issues have been identified in the workforce analysis phase. It progresses to include development of a plan to deliver/implement those strategies and concludes with the actual implementation.

IV. **Evaluation** – This is the follow-up stage designed to assess the success of the strategies selected. It includes obtaining feedback from those affected by the strategies, measuring the success of the strategies through monitoring systems established in the implementation phase, and revising the strategies and plan as necessary.

In addition to the above phases of workforce planning, it can also be viewed from the perspective of the human resource management cycle, which encompasses the entire spectrum and life cycle of employment, i.e. all the stages an organization experiences while moving its people through their tenure with the organization. These four stages include:

- ***Planning for Service***, as the organization determines the kinds of work to be done and the skills and number of employees needed to do it.

- ***Entry into Service***, as the organization seeks, finds and places the right people with the right skills.

- ***Service Delivery***, as the "work" (products and services) generated by those people is utilized to accomplish the mission of the organization.

- ***Separation from Service***, as people leave the work mix, requiring the organization to return once again to pre-employment planning for service as it determines how to deal with the challenges and opportunities generated by this change in staffing

Throughout the stages described above, the organization is managing its human resources. First, it determines how to allocate them. Then it implements those resource allocation decisions and uses the resources. Finally, when people leave their assigned work (positions) or the organization, those human resources are suspended until the organization determines once again how to allocate them.

Many human resource functions have grown up around the resource management actions described above. The type of function depends, in part, on the particular phase of resource management. For instance, Recruitment tends to occur in the second phase, Resource Implementation, when the organization has determined the kind of work and the kind of skills needed and seeks the right people to do that work. Employee Development tends to occur in the third phase, Resource Utilization, when the organization seeks to enhance the skills of the people it has already employed.

Other than helping the reader better understand the relationships involved between the work cycle, resource management and human resource functions, there is no set list of either human resource functions or the specific phases of the work cycle or resource management to which they are tied.

The following chart is an overview of workforce planning which demonstrates those relationships and shows the human resource management cycle.

WORKFORCE PLANNING ROADMAP

THE EMPLOYMENT CYCLE

STRATEGIC PLAN ➡ **THE RIGHT WORK** ➡ **ORGANIZATIONAL STRUCTURE**

The Work Cycle	Planning for Service	Entry Into Service	Engagement/Service Delivery	Separation from Service
	←COMPETENCIES→			
Resource Management	Resource Allocation - Staffing Plan	Resource Implementation - New Hires - Promotions - Lateral Position Moves	Resource Utilization (Work Life/Full Performance) - Reclassification - Shift in Job Duties - Shift of Positions - Skill Enhancement	Resource Suspension - Turnover - Retirement - Involuntary Terminations
HR Functions and Strategies	- Position Classification - Job Alignment - Job Design	- Onboarding - Recruitment - Affirmative Action - Selection - Probation	- Retention (compensation and benefits, work life, job satisfaction) - Training and Development - Performance Evaluation - Job Redesign	- Succession Planning - Knowledge Transfer - Senior Workforce - Phased Retirement
HR Tools & Resources	- Hiring Decision Guide - “Just the Facts” - PDQs - AA Plans - Hiring Reports	- Interview Question Bank - Applicant Screening Manual - Competency Library - Selective List - Internships	- Exit Surveys - Salary Surveys - Alternative Work Options (telecommuting, flexible hours) - PDS courses - Collective Bargaining - Golden Dome - Certified Public Manager Program	- Retirement Calculator - Sick Leave Insurance Program

C. Link to Strategic Planning

Workforce Planning does not take place in a vacuum, nor is it done for its own sake. It is inextricably linked to the organization's overall planning efforts, which start with the strategic plan.

The strategic plan is the organization's self-proclaimed direction and expression of who it is and what it plans to accomplish in the short-term future (usually 3-5 years). In the public sector, statutes, laws and appropriated funding define what the organization does; these are imposed upon the organization by external sources. But the strategic plan defines how things get done, and it comes from within, generally from top management based on input from the rest of the organization.

Strategic planners counsel organizations to keep their strategic plans simple and focused so that every member of the organization understands the direction and their individual role in helping the organization achieve it.

In Iowa state government, the Accountable Government Act lays out the components of the planning process for state agencies to follow at the individual employee level, at the unit level, at the organizational (agency) level and at the enterprise level so that they are aligned in purpose and direction.

Given the above, it is important that the organization have a current, meaningful strategic plan in place before undertaking workforce planning. Workforce Planning can be pursued as a separate effort and assumptions can be made about workforce needs, now and in the future, but the product will lack the clarity and purpose that being prepared in concert with a strategic plan would afford.

D. The Role of Data in Workforce Planning

As indicated above, workforce planning starts with the organization's strategic plan: where does it see itself going in the next few years? Just like planning a trip on a map, there are many options possible until the trip planner decides on the destination, and then the direction to follow becomes more obvious. The next question the trip planner probably asks is: how far is it to the destination? Here is where data and information come into play. How many miles to the destination? How many miles to various milestones along the way?

Data is a critical component of workforce planning as an indicator of where the organization has been, where it is currently and where it is going, how it is going to get there, and finally, whether it arrived (measuring results). To be used most effectively, data must be managed. Using data is addressed in more depth in Sections 2 through 6.

E. The Role of Competencies in Workforce Planning

An important element of effective workforce planning involves the identification and use of the "right skills." In Iowa state government, the "right skills" are expressed and operationalized as competencies.

What are competencies? Competencies are observable and measurable knowledge, abilities, skills and behaviors that must be applied to achieve results aligned with the goals of the organization.

Why are competencies important? Though the sum total of an organization's jobs may include many tasks and duties and responsibilities, which change frequently depending on the needs of the organization, competencies tend to change less frequently and can serve as common ground from one position to another. Focusing on the commonalities helps the organization shift its human resources and concomitant skills as needed. If the organization can hire, maintain, and develop a workforce that has the competencies required for superior performance, that higher performing organization will be better able to meet established strategic goals.

Competency-based human resource strategies, where competencies are integrated into all aspects of human resource administration, allow the organization to focus on building its internal strength around its most important asset, its people.

F. Workforce Planning Strategies

The following segments of this workforce planning guide lay out how the organization, using the model described throughout, can hire, maintain and develop a higher performing workforce to meet its strategic goals. Sections 3-6 address the four phases of the work cycle and resource management. Data describing HR actions in each phase will be analyzed as a starting point to identifying key strategies aimed at meeting the organization's objectives. Strategies describe how emphasis of a particular HR function will be applied.

The process of developing the findings and recommendations for the key strategies on which to focus in the immediate future and throughout the next few years is described in Section 7. The template for the Workforce Plan found in Section 10 also lays out where the key strategies should be incorporated.

Section 2

Getting Started

Workforce Planning has received increased attention in recent years as potential record retirements of baby boomers loom on the horizon. Organizations have recognized that they need to do “something” about workforce planning but aren’t quite sure what that is. The purpose of this section is to help the reader focus on what could and should be done.

The basic steps to getting started with workforce planning are found in D. below. Before discussing specific procedures, however, you need to be aware of the following assumptions about workforce planning:

A. There is no one way or best way to conduct workforce planning.

This section suggests some approaches to consider when undertaking your workforce planning project, but the specific activities you pursue really depend on the following factors:

1) What kind of resources is the organization prepared to dedicate to this endeavor? In particular, how many staff and how much of their time? What time frames are expected – does this have to be done in a month or will several months be allowed to complete the project? Will management support doing this on an ongoing basis?

2) What kind of results is the organization seeking by engaging in this activity? What does it expect to accomplish or change as a result of having conducted this project?

3) How prepared is the organization to incorporate workforce planning into its overall planning and operations? Data collection? Hiring practices? Training and development initiatives?

4) What preliminary steps have been taken to assure the success of the project? Is top management supportive? Is workforce data readily available for initial research and establishing baselines? What is the state of the organization’s strategic plan – nonexistent, basic, or comprehensive?

B. Workforce Planning means different things to different people

Before you get very far into the project, it is important to check definitions. Does everyone mean the same thing when they refer to “workforce planning”? Yes, there’s fairly universal agreement that it means:

Having the right person with the right skills in the right job at the right time

But how broad is that concept? It’s more than just hiring people. The focus also changes as the needs of the organization change. Workforce planning encompasses almost every aspect of human resource management at every stage of the employment cycle of any given individual. Because of that scope, it’s easy for people, even people who are part of the same organization, to have totally different visions of how wide or narrow that scope should be.

Sometimes "succession planning" is used interchangeably with the term "workforce planning." People who do that see workforce planning as the blueprint to be used to replace critical positions when those positions become vacant. That's different from taking a more global view of the workforce and what is happening and will happen to it.

Some see workforce planning in terms of a staffing plan, or a set of commonly held principles about the type and number of jobs to be used by the organization. Others see it as an approach to defining development needs of the workforce.

C. Workforce Planning can be done in small segments

Even though we say above that workforce planning encompasses a broad scope of human resource functions, it doesn't all have to be undertaken at once. In fact, an organization would probably be wiser to focus on just a few human resource strategies at a time in order to be more effective in its workforce planning efforts.

D. Steps to Getting Started with Workforce Planning

1. Establish goals and objectives/desired results.
2. Select a basic format (template) for the workforce plan.
3. Determine the intended audience/customer group
4. Relate goals and objectives to the organization's strategic plan
5. Communicate the project's goals and desired results to those affected by the study
6. Collect, analyze and use appropriate data

1) Establish goals and objectives/desired results

This may sound repetitive, but the organization needs to know what it wants to accomplish before plunging into a major workforce planning project. Due to the vast number of human resource activities it covers, workforce planning can become very complicated very fast. All that accomplishes is, first, confusion, second, disillusionment, and third, abandonment. In the end, everyone suffers, because it calls in question the effectiveness of workforce planning.

Goals and objectives determine direction. If the organization is unclear how to establish them, it should turn first to its strategic plan. Should more assistance be necessary, various workforce planning readiness assessment tools are available to help the organization define its needs and describe its aspirations more clearly. See the list of resources in the Appendix.

2) Select a basic format/template for the workforce plan

To enhance its success, one of the first steps in the process should be to develop a workforce plan. This guide provides a template for doing this in Section 10. The initial plan can be very basic, providing key data and assumptions and laying out just a few strategies for the future. Over time, as the organization gains more experience in workforce planning, the workforce plan can expand and become more detailed and sophisticated. Still, a basic course of action needs to be established early in the process to set the direction, milestones and goals.

3) Determine the intended audience/customer group

Who is initiating this project? Generally, the thrust comes from the CEO or the executive team, which is helpful, because their support and the resources they provide or approve are imperative to the success of the project. If the interest is coming from this group, what kind of input and involvement do they want to have? You need to know this from the start in order to frame the project goals around these expectations.

Is the push coming from somewhere else, such as mid-level managers or staff? If this is the case, you need to determine why they see this as a need, because it may indicate a disconnect with the vision of upper level management. Or, it may simply be that this group is more closely attuned to the human resource needs of the organization. There's nothing wrong with the impetus coming from this group, as long as top level management support can also be obtained.

If the interest in the organization's workforce planning efforts is coming from an external source, that's a different matter. It's important for those involved in the planning to be cognizant of what is prompting this interest and how it will impact both the organization's management as well as its workforce. If those two groups are not committed to the idea, the chances of the project succeeding can be jeopardized.

4) Relate goals and objectives to the organization's strategic plan

For workforce planning efforts to be successful, the organization should first have a strategic plan. The strategic plan links the organization's mission, in the case of state agencies, what's spelled out by statute, with the organization's vision to produce a few wide-sweeping goals for the next 3-5 years. It's that emphasis on where the organization is going that is so critical to workforce planning efforts, as they determine future staffing needs.

Workforce planning efforts can be done without a strategic plan, but without a vision of the future and a knowledge of organizational direction, they tend to be conducted in a vacuum without the framework a strategic plan would add.

Since most state agencies already have strategic plans as part of the Accountable Government Act, this requirement shouldn't be problematic. The strategic plan sets forth the organization's primary goals, the strategies designed to achieve them, and measures of goal achievement. The measures are collected each year and reported to the Department of Management.

5) Communicate the project's goals and desired results to those affected by the study

Those affected by the project need to know what to expect, because their support and participation may affect the project's success. A well thought out communications plan for the project could be very helpful. At the very least, it should address the following questions:

- Why is it being done?
- How will it affect them?
- How will it benefit them?

Communication about the project should occur throughout each phase; it's not just a one-time thing. And it is especially important at the conclusion of the project or major phases so those affected can see progress and results. A communications plan template can be found in the Appendix.

6) Collect, analyze and use appropriate data

Effective workforce planning starts with current, accurate data about the organization's workforce. This is an important segment of the project but data alone is not workforce planning. It provides the foundation from which the organization reviews where it has been staffing-wise, what it currently looks like and where it is going. The next segment goes into more detail about data.

E. Using Data

Sections 3-6 discuss specific workforce planning data resources and how to use them. This section, Section 2, discusses data from a broader perspective.

Data is a tool. As such, it identifies and measures problems and successes from which the organization makes decisions about future strategy. Those decisions are described in the strategy segments of Sections 3-6 and in the workforce planning template in Section 10.

Data should be "appropriate" to the project. That means it should:

- Be clear and understandable.
- Describe what has been and what is happening to the workforce in the most meaningful terms.
- Identify key trends relating to the workforce.
- Be repeatable so that it can be compared to earlier and future periods and monitored for changes over time.

1) Data Collection Plan

There are several basic types of data that relate to workforce planning efforts: hires, turnover, promotions, lateral job changes, retirements, projected retirements, etc. For the most part, these data are readily available from DAS-HRE. What to collect and how to analyze it are discussed in Sections 3-6.

All data do not have the same value, i.e., contribute equally to the workforce planning effort. Some are more readily accessible and easier to collect. Some are straightforward and some may require subjective interpretation. Some may need to be screened for accuracy due to the data collection method or assumptions producing the data that may need to be taken into consideration.

To avoid being flooded with data and possibly confusing the issues or the focus of the planning effort, it may help to start the project with a **data collection plan**. In essence, this outlines what data is needed; how it is to be collected; time frames, assumptions and other limiting criteria to be used; who will collect it; who will analyze it; and due dates.

2) Data Analysis

Data analysis is the process of compiling and arriving at conclusions suggested by the data. Generally, this should be done from a neutral perspective, restating the data in narrative form such as the top three factors exit survey participants cite for separating from the organization, or the average number of hires over a period of so many years, or the number of projected hires based on a set of predetermined conditions.

Workforce planning tends to be expressed in terms of **"models,"** or predetermined data elements used by most workforce planners to readily assemble the data in such a way that it can be compared to the workforce planning data of other organizations for benchmarking purposes.

What the workforce planner is looking for in the data and how to go about doing that is discussed in more length in Sections 3-6 of this guide.

3) Data Inventory

Once the workforce planner has begun to collect and compile data and other types of information, it needs to be retained in a manner in which it is readily accessible. As it is collected, the source, time frames, and assumptions need to be documented (for example: *HRIS query of full-time filled positions only as of June 1, 2005*). If the workforce planner decides to change the date parameter to July 1, 2005 at a later point in the project, which will require additional data, this type of documentation maintains the integrity of the data and allows accurate comparisons.

This retention plan, which is the workforce planner's method of filing the data and information electronically, is the **Data Inventory.** The Data Inventory differs from the Data Collection Plan (see #1 above) in that it represents what was actually collected and the Data Collection Plan merely lists the data to be collected.

Section 3

Phase 1: Planning for Service

A. Resource Allocation

Allocate (*The American College Heritage Dictionary, Third Edition, 1993*): 1. To reserve for a purpose; designate: *allocate room*. 2. To distribute by a plan; allot: *allocate rations*….The central meaning shared by these verbs is to set aside for a specified purpose…

This phase of resource management assumes the organization starts with a blank page in planning what human resources it needs. Through analysis of various background information outlining the organization's purpose, needs and projected demands for its services, a plan emerges detailing the specific numbers and kinds of positions it should have and the organizational relationships (reporting structure) for each. This is the Staffing Plan, which will be addressed in more detail below.

B. Preliminary Human Resource Planning – Data Analysis

This phase is the preliminary step in human resource management. Before any staffing decisions are made, management, with the help of the workforce planner, should collect, analyze and reflect on the basic data describing the organization. This phase is not intended as an assessment of how well or how poorly the organization is doing in its program delivery but rather, how it is doing in relation to its human resources. The description considers size, purpose, composition, demographics and any other factors that will help the workforce planner gain a better picture of the organization today.

- **Data Resources**

As mentioned in Section 2, the first resource to consult is your agency's strategic plan. It lays out the organization's future direction.

DAS-HRE provides four resource documents on an annual, quarterly or as-needed basis that provide the foundation of this analysis. These include:

- "Just the Facts," an annual compendium of numerous human resource-related facts listed by individual agency and in total for the Executive Branch for the given fiscal year. In some cases, it also provides trend information.
- The "Facts" sheets developed for each agency from "Just the Facts."
- The annual Affirmative Action in Iowa Report, including the annual Affirmative Action Hiring Goals, which lists the job EEO-categories and protected classes in which the department is underutilized.
- The quarterly Job Class Underutilization List, which lists underutilized job classes by EEO-Category.

In addition, the following data and information are also available:

- Department demographics ad hoc reports are generated by DAS-HRE upon request, usually as of the most recent pay period, but these can also be run for the beginning or end of the fiscal year or other points in time.

- State of Iowa Classification and Pay Plans for the current fiscal year.

- Current collective bargaining agreements for the unions representing the agency's employees.

There are also numerous budget resources that provide additional information, such as the current fiscal year budget for salaries and training plus recruitment and retention expenses.

Data Review and Analysis Process – Questions to Ask

- **Overall Workforce Demographics –** Workforce planning looks at the organization in its macro sense, who it is, and in a micro sense, what makes up the component parts. Both perspectives are necessary to gain a coherent view of the whole. Although the agency can retrieve some of this data from its own internal databases, DAS-HRE provides ad hoc reports in spreadsheet format so the agency can manipulate and reconfigure the data as it desires. Generally, the data elements, by position, include: class code, class title, tenure in state government, age. Additional data elements, such as Appropriation and Organization numbers, FTE/PT, EEO Category, occupational group, bargaining group and bargaining status, plus counts, can also be included upon request.

  The following are some of the questions the data should answer:

  - How many positions make up the organization, now and over a period of time? How many positions are full-time and how many are something else (part-time, contingent workforce, etc.)? How does the organization's size compare to the overall enterprise (see the current year's "Just the Facts" report for overall enterprise numbers)?

  - What kind of work is done by the organization? (What are the core business and main business lines? These typically come from the department's strategic plan.)

  - What are the most frequently used job classes and what EEO categories do they fall into? (See department demographic data.)

  - What are the most populous job classes? How many positions are in each? (See department demographic data.)

  - Are the job classes used covered by one of the three state unions? If so, which? (See demographic data or the State of Iowa Pay Plans.)

3) **Jobs by Sex -** Numbers 3) through 6) deal with segments of the organization's workforce. It is helpful to know this information because it suggests the type of work culture and work environment that characterize the organization. Although sex and ethnicity are included in this group, they are included here for the purpose of describing the overall demographics of the workforce, not for affirmative action purposes. More on that topic can be found in Section 4, Entry into Service.

- What percent of the workforce is Female and what percent Male? How many filled positions are Female and how many are Male? (See department demographic data.)
- What is the average Male to Female ratio? (See department demographic data)
- What job classes do Females tend to populate most? What percent of the overall female workforce within the organization is found in the top five most populous job classes? (See department demographic data.) How does this compare to the State's overall workforce? (See the current year's "Just the Facts.") How does this compare to the Iowa labor force? (Labor force information, which comes from current Census data, can be obtained from DAS-HRE. More in-depth information can be obtained from the State Data Center within the State Library.)
- What job classes do Males tend to populate most? What percent of the overall male workforce within the organization is found in the top five most populous job classes? (See department demographic data.)

4) Jobs by Ethnicity

- What percent of the organization's workforce is non-white? (See the department's demographic data)
- How does that compare to the State's overall workforce? (See the current year's version of "Just the Facts.")
- How does that compare to the Iowa labor force? (Labor force information, which comes from current Census data, can be obtained from DAS-HRE. More in-depth information can be obtained from the State Data Center within the State Library.)
- What percent of the workforce comprises each of the minority sub-groups? (See the Annual Report of Affirmative Action in Iowa.)
- What has been the trend over the last decade (or whatever period data is available for)? (Refer to past editions of Affirmative Action in Iowa.)

5) Jobs by Age

- What is the average age of the organization's employees? How does this compare to the State's workforce? (See the current year's version of "Just the Facts.") How has it changed within the last decade (or whatever period data is available for)?
- Are there any trends as far as types of jobs the youngest and oldest employees occupy?

6) Jobs by Tenure

- What is the average tenure of an employee within the organization? What is the average tenure for the State's workforce overall? (See the current year's version of "Just the Facts.") How has this changed over the last decade (or whatever period data is available for)?

- What job classes within the organization have the highest average tenure for employees? (Use job classes with three or more employees, fewer than that may skew the analysis. Use department's demographic data.)

- What job classes within the organization have the lowest average tenure for employees? (Use job classes with three or more employees, fewer than that may skew the analysis. Use department's demographic data.)

Data Analysis – What Does the Data Tell Us?

7) There is no way to list here every permutation of the data you might collect in this phase of resource management, especially if not all the data is available or current. What can be provided, though, are some general principles to consider, which may already have become evident by the type of questions asked above in 2-6. Some of these are the kinds of considerations that may lend themselves better to external consultation such as that provided by HRE's Performance and Development Solutions (PDS) team.

   - Organizations have their own life cycles: young, maturing, established and sometimes, waning. The organization's life cycle has very little to do with the age of the workforce. It is more concerned with the reason for the organization's existence and its core business. Organizational leadership usually knows which stage the organization is in by the types of challenges facing it: Is it struggling to get organized? Are demands for services greater than capacity or vice versa? Is the organization keeping up with or outdistancing its competitors? Is continuous improvement an underlying principle of the organization? Is it achieving its mission?

     Recognizing where the organization is in its life cycle helps the workforce planner determine what the organization's underlying staffing philosophy should be. A young, developing organization may have to focus its human resource management strategies more on growing capacity and meeting service demands than the more mature organization, which may be more concerned about maintaining market share or improving services.

   - In contrast to the organization's life cycle, as described above, the average tenure (length of service) of the workforce, and this is not referring directly to average age, provides additional clues about the nature of the organizational culture. An organization where the majority of the workforce has been around awhile may exhibit different attitudes and interests than a workforce where most staff are fairly new. This is not a hard and fast rule; it is simply another aspect of the organization's make-up the workforce planner should consider.

   - Along with the life cycle in which the organization currently finds itself, the data should also provide the workforce planner some clue about the "health" of the organization. By that, are there any staffing challenges, issues or problems that need to be addressed? This question refers both to bringing in new staff (discussed more in Section 4) and retaining current staff (discussed in Section 5). If the sex and ethnic make-up of the organization does not reflect the current Iowa labor force, underutilization issues need to be considered as part of overall hiring efforts. If the bulk of staff have not taken any training courses in the last five years, staff development may need to be enhanced to improve and enhance the skills of staff as well as prepare them to assume the jobs and responsibilities of senior staff who may soon be retiring. If turnover is significantly greater than the average for the enterprise, the organization may need to examine the reasons why people leave. If grievances and arbitrations are higher than other state agencies experience or have increased significantly in the agency within recent years, the organization may need to focus more attention on organizational climate and working conditions.

- Occupational make-up of the organization is another point to consider. For state agencies, there will generally be one or a few core business lines. Typically, although there may be exceptions, the majority of the workforce will be clustered around these areas. This is the organization's "bread and butter," so to speak. This is where the focus of its human resource investment lies, both in salaries and other incentives and in development activities. Identifying these areas is key to workforce planning activities, however, the workforce planner should also be aware of the other pockets of activities needed to support the core business. These will most likely represent a smaller portion of the workforce, but their contributions are equally critical. Thus, staffing and retaining these positions may require an even greater proportion of resources than required by those in the core business area.

- Another aspect of occupational make-up that needs to be considered is that certain occupations tend to promote a certain type of work climate or working conditions. This is no reflection on the individuals who perform these occupations. Rather, it is a comment on the type of work undertaken by the occupation and competencies utilized and the typical kinds of education or experience that prepare someone for the occupation. For instance, in very general terms, occupations that deal with scientific subject matter tend to require individuals with high attention to detail whose work processes include continual checking and testing. Occupations that deal with direct client service delivery may focus more on communications skills and interpersonal relationships. Those are just two very broad examples meant to contrast the types of skill sets required.

- Collective bargaining provisions establish a framework of staffing conditions which could impact the strategies the organization may be considering to meet the challenges it identifies through it is workforce planning efforts. It is important that the workforce planner be cognizant of these provisions before launching or recommending a course of action.

C. HR Strategies

Staffing is the means of determining the right numbers of the right positions.

1) Staffing

Workforce planning is an overarching, ongoing process that addresses all aspects of an agency's workforce, including recruiting, hiring, and retaining qualified staff, meeting diversity and EEO goals, filling workforce gaps (or achieving reductions in force), and identifying changing workforce needs as well as how those needs will be addressed. In comparison to workforce planning, which is an ongoing process, a **staffing plan** is, in effect, an implementation plan showing how the various needs, changes, etc. identified in the workforce planning process will be achieved over a specific period of time. Workforce plans normally should be reviewed and updated at least yearly, perhaps in concert with budget planning for the next fiscal year, but more frequently if needs dictate (e.g., sudden budget reductions, new legislation, shifts in policy).

The Staffing Plan is an organization's methodology for identifying and prioritizing critical staffing needs, developing a resource allocation system, and outlining how such strategies mesh with the strategic direction of the workforce plan. The Staffing Plan includes specific numbers of current and projected desired positions and establishes priorities for filling "holes."

Ideally, the Staffing Plan is developed on an annual basis prior to the organization's annual workforce plan review and budget process. A revised staffing plan may also need to be developed in the event of a major organizational restructuring. (See the Appendix for examples of a staffing plan worksheet and a staffing plan.)

Job alignment, job design and classification are ways of describing and determining the "right work."

2) **Job Alignment** is the process of ensuring that the intended purpose of the job, the assigned duties, and the results/outcomes required will effectively contribute to meeting the organization's strategic plan and specific unit objectives related to that plan. This also requires identifying the competencies required for performing job duties and leads to a review of the correct job classification, a review of qualifications required, and any specialized requirements.

   This process should be performed when judged necessary to ensure the position is designed and functioning correctly and that the hiring process for filling a vacant position or the correct training required for functioning effectively can be identified and delivered.

3) **Job Design –** According to Robert L. Mathis and John H. Jackson in *Human Resource Management*, Ninth Edition, 2000, **Job Design** is **"**organizing tasks, duties and responsibilities into productive units of work. It involves the content of jobs and the effect of jobs on employees… Employers are paying more attention to job design over pure job definition because:

   - Job design can influence performance in certain jobs, especially those where employee motivation can make a substantial difference. Lower costs through reduced turnover and absenteeism also are related to good job design.

   - Job design can affect job satisfaction. Because people are more satisfied with certain job configurations than with others, it is important to be able to identify what makes a "good" job.

4) **Classification, Position Classification and Vacancy Reallocation –** Classification, as it relates to human resources, is viewed in both macro and micro senses. The macro perspective deals with grouping several like positions (collections of job tasks, duties and responsibilities) into one job class for administrative purposes (determining pay, qualifications, collective bargaining status, etc.). The micro perspective, **Position Classification**, analyzes one position's collection of tasks, duties and responsibilities and assigns it to the job class which most appropriately describes them.

   Vacancy Reallocation is the decision to change the duties and responsibilities of a vacant position in order to use the position in a different way than previously. Review of the new duties and responsibilities assigned is Position Classification.

E. Competencies

1) Competency Development

The organization must have the right people with the right skills to be successful in the increasingly challenging world in which organizations operate. Identifying what the right skills are, defined as **competencies**, is a key part of this workforce plan.

Essentially, competency development involves identifying the key knowledges, abilities, skills and behaviors needed to perform the required duties and responsibilities of the job to produce the desired results for the organization. The process usually starts with the more concrete job duties, responsibilities and tasks. Once these are established, the competencies needed to perform them are identified.

There are at least three levels of competencies: Core, Common, and Position (Technical).

Core competency – Required by all positions in an organization in order to be able to successfully perform duties required to meet the organizations' mission, vision, values and strategic plan. Typically, competency identification is done first at this level.

Common competency – Required by a specific organizational unit or type of position in addition to core competencies in order to successfully perform the duties required. Typically, this step comes next, as the organization moves deeper into competency identification and focuses on particular groups of jobs. Common competencies may be the same as certain core competencies but required at a higher level of proficiency in order to perform specific job duties. Common competencies may also include **technical competencies**, which refer to specific occupational skills gained from education or training or which are based on a particular area of expertise.

Position competency – A competency specific to a particular position or a core or common competency for a particular position that is required at a higher level of proficiency. Position competencies may also include technical competencies, which refer to specific occupational skills gained from education or training or which are based on a particular area of expertise.

2) Competency Validation

Competency validation is the process of verifying that the identified competencies are indeed those most closely related to doing the job. Subject matter experts (SMEs, usually job incumbents, supervisors and managers most familiar with the jobs in question) are asked to respond to a series of questions about each competency:

- Is the competency needed at the time of hire?
- Is the competency essential for performance on the job?
- Does the competency differentiate between levels of performance?
- Is the competency related to superior performance?

In addition, each SME does a forced ranking of all the competencies, placing them in rank order of importance.

The results are then summarized and analyzed by the project leader.

3) Gap Analysis

Traditionally, a gap analysis is conducted by the organization at some point after the competencies have been identified and validated and a proficiency level established for each. The gap is the difference between the level of proficiency for each competency expected by the organization and level of proficiency currently possessed by each member of the workforce. A development plan is then formulated for the purpose of reducing this gap in workers' competencies. Addressing the competency gap is part of the process of raising the bar to improve overall organization performance, its ability to meet strategic objectives, and to transfer knowledge from the senior workforce to others in preparation of their departure.

A gap analysis starts with determining the levels of proficiency present in a given competency. By their nature, not all competencies have the same dimensions. Once these have been established, a profile is established for each employee of expected proficiency levels compared to current levels.

More in-depth information about the above three processes can be found in the Competency Manual.

Section 4

Phase 2: Entry into Service

A. Resource Implementation

This phase of resource management deals with putting the resource allocation decisions made in the first phase into play, or in one way or another bringing human resources into the workforce. Decisions made at this stage are critical to the organization and the human resource's future success. Bringing in the "wrong" human resources (wrong competencies, wrong attitudes, wrong work mix, etc.) may result in counterproductive actions such as employee counseling, retraining, or discipline.

That is why the strategies discussed in this section, recruitment, hiring, and probation, are so important. Once a person is hired into the system and attains permanent status, dealing with faulty or problematic selection decisions is constrained by other factors such as merit system protections, including the principle of "just cause" for discipline and discharge, as well as the provisions of collective bargaining agreements.

Typically, the way human resources are brought into the system are as:

- new hires for persons totally outside the system.
- as promotions for persons within the system.
- as lateral job changes (transfers, contract and non-contract) for persons also within the system.
- or they are brought back to the system through recall and reinstatement.

However the human resources enter the system, change occurs, and the person assumes new duties and responsibilities (the right work).

B. Onboarding

This section deals with the front end of the employment process. The hire decision is critical to effective resource management because it sets the course for how the work to be accomplished will be approached. Hiring people with the wrong skills or the wrong attitudes may likely set the stage for lower productivity and a higher potential for work conflict later on.

The importance of bringing the right people on board in the right way cannot be overstated. **Onboarding** is the process of bringing new hires into the existing workforce in a strategic, welcoming manner that recognizes their orientation and other information and support needs that optimize their success in the job.

Keeping jobs vacant for an extended period may save salary money, but it does little to help productivity. So, in general, vacancies need to be filled as soon as feasible; however, supervisors, managers and other involved in this part of the process need to spend adequate time on this phase to ensure that appropriate decisions are made. That is why it is so critical to examine how that time, as an investment of a major resource, is being used through review of the data collected.

1) Data Resources

The following data resources are available to describe the Entry into Service phase:

- "Just the Facts" – see new hire information under "Employee Mobility"
- Agency recruitment information: advertising costs, salary costs of those involved in selection process, travel costs, etc.
- "Affirmative Action in Iowa" – annual report issued by DAS-HRE on the condition of affirmative action in Iowa state government
- Agency annual affirmative action plan (agencies with 25 or fewer staff are not required to complete an annual affirmative action plan)
- Underutilized Job Class List – issued quarterly by DAS-HRE to agencies with underutilized job classes
- Quarterly AA Progress Report issued by DAS-HRE
- Hiring Opportunity Report – available upon request from DAS-HRE for any period back to July 1, 2002. Provides data for all eligible lists for underutilized job classes for which a hire was made, including total number on list, number of protected class applicant names on list, whether Non-Promotional/Promotional hire made, county of vacancy, and who was hired.
- Applicant pool data: ad hoc reports can be generated from applicant survey data in the aggregate for highest levels of education attained (Question C) and where the applicant heard about the vacancy (Question F).
- Time to fill – ad hoc reports are available for all positions by the agency within the time period they designate. Time to fill numbers cover:
    - Date of posting to date list of eligibles issued
    - Date of closing to date list of eligibles issued
    - Date list of eligibles issued to date of hire offer acceptance
    - Date of hire offer acceptance to date of hire
    - Date of posting to date of hire
- Applicant flow data – for any one position or combination of positions within an agency during a designated period of time, an ad hoc report can be generated showing the percent of Females and Minorities from whom applications were received, the percent qualified compared to the percent qualified from the general applicant pool, the percent interviewed, and the percent hired. This data is compiled in the aggregate and relates more to *adverse impact* than affirmative action. (Adverse impact is defined as any decision point in the hiring process where the percent of females or minorities passing that point is less than eighty

percent of the general applicant pool. Such instances may indicate the presence of discriminatory practices, which must be addressed and eliminated.)

- Hire report – an ad hoc listing of all positions filled by the agency within a given period of time which can be sorted according to class title, hiring authority, date, county, and type of hire (promotional, non-promotional or other).
- Executive Branch Employment Diversity Changes – department-specific report issued monthly by DAS-HRE showing changes in the department's overall, female, minority, and Persons with Disabilities workforces in the past month and year-to-date.

Data Review and Analysis Process

2) Hires

- How many positions were filled in the last fiscal year? What was the hire rate? How did the hire rate compare to the Executive Branch overall? What has been the new hire trend for the last decade (or whatever period of time for which data is available)? *(Most of this data can be found in the current year's version of "Just the Facts.")*

- What kinds of positions (job classes) were filled? Was there a trend or was this a unique circumstance? *(This information can be provided by DAS-HRE through a customized hire report.)*

3) Recruitment

- What kinds of recruitment efforts were pursued? What was the cost of recruitment? *(This information should be found within the agency.)*

- What were the main recruitment sources from which new hires came? *(This information comes from both the agency and from an ad hoc DAS-HRE report from Applicant Survey data.)*

- What percent came from outside state government? What percent came from outside the state of Iowa? *(This information can be taken from the individual eligible lists. It also can be generated, on request, by DAS-HRE)*

4) Time-to-fill vacancies

- What was the average time it took to fill a vacancy in the last fiscal year:
  - from the date it occurred to the date it was refilled
  - from the decision date to refill to the date of refill
  - from the date of announcement to the date of refill
  - from the date the list of names was received until the date of refill
  - from the date of the first interview to the date of refill.

(This information comes from the time-to-fill report. Internal dates, such as time lapsed from the date the list of eligibles is received to the date interviews are conducted, or time

from the date interviews conclude until the hire decision is made, needs to be tracked by the agency.)

- What was the total and the average time spent by supervisors and others on the selection process? What was the cost of the time spent? (*This is information that, if used, needs to be tracked by the agency.)*

5) Underutilization

- In what EEO Categories is the organization underutilized for Females? For Minorities? For Persons with Disabilities? (See the agency's annual AA Plan.)
- What job classes are underutilized? *(See the Underutilized Job Class list.)*
- What affirmative action hiring goals have been set by the organization for the current fiscal year? What goals were set for the last 1-5 years and what were the results? *(See either the current and past issues of Affirmative Action in Iowa as well as the same for the agency.)*
- In the previous fiscal year, how many lists of eligibles were issued for underutilized job classes? How many of those actually included the names of protected class applicants? How many protected class hires were made? (*See the Hiring Opportunities Recap.)*
- How many Females are needed to balance the organization's workforce? How many Minorities? How many Persons with Disabilities? *(See the Quarterly AA Progress Report for the agency.)*

Data Analysis – What Does the Data Tell Us?

6) There is no way to list here every permutation of the data you might collect in this phase of resource management, especially if not all the data is available or current. What can be provided, though, are some general guidelines to consider, which may already have become evident by the type of questions asked above.

Bringing new people on board is one of the most critical human resource steps the organization takes. So it is important when examining this phase of human resource management to take a critical, data-driven view of it. The underlying question should revolve around the degree of investment in this activity compared to its overall contribution to operations. This doesn't only mean how much is being spent on recruitment, although that is one data element to be aware of. It also means the following:

- Appropriate criteria and processes are used to identify job duties and responsibilities for recruitment. A concerted effort is made to identify and follow successful recruitment practices.
- The selection process adequately addresses the skills sets (competencies) needed. The organization's hiring authorities receive adequate training in hiring and effectively onboarding new staff.
- New staff are receive effective orientation and are otherwise actively acclimated within the organization shortly after their arrival. New staff are immediately

challenged to produce and use their skills. New staff feel welcome and immediately develop organizational awareness.

C. Strategies

1) **Recruitment –** The more an organization focuses on the "front end" of the work cycle, i.e., bringing human resources into service, the better its chances of optimizing the contribution of those resources at full service delivery. Recruitment is a key strategy for ensuring the organization has the best talent to work with. Recruitment involves at least two diverse activities: finding qualified talent and attracting it. The finding part is more analytical and data-based, although it also involves a degree of creativity in generating lists of potential places to seek applicants. The attracting part is more marketing and customer relations-oriented as the recruiter endeavors to convince potential applicants that these are the jobs they want to apply for.

   Recruitment is frequently seen as a finite phase of the hiring process. Once the job has been announced and a list of applicants generated, recruitment is thought to end. Though that holds true for individual vacancies, that is not the case overall. Recruitment is a never-ending process of building a network to feed future staffing needs.

2) **Affirmative Action –** State agencies prepare an annual affirmative action plan which includes a breakdown of their workforce by females and minorities within the eight EEO categories as well as an overall count of persons with disabilities. This workforce analysis compares the agency workforce to comparable occupation groups in the Iowa labor force to determine the presence or absence of underutilization. The goal is to address underutilization through future hiring actions, or hiring goals. Affirmative action is not applied as a selection factor unless there is a statistically significant showing of underutilization and unless two or more candidates are equally qualified. Nonetheless, affirmative action considerations must be taken into account at this part of the work cycle. (*For more information on affirmative in Iowa state government, go to http://das.hre.iowa.gov/aa_eeo.html.)*

3) **Selection –** Selection includes all the activities surrounding the decision to hire an individual from a larger group of applicants. Since state agencies are public jurisdictions, most positions are "merit-covered," meaning hiring decisions must be based on job-related criteria and must be fair and equitable. Selection is generally a process, a series of steps winnowing the larger applicant pool down to the final choice(s). Selection goes hand in hand with recruitment as key strategies to ensuring that the organization establishes and maintains a high caliber workforce. (*For more information on Selection in Iowa state government, see the Applicant Screening Manual at http://das.hre.iowa.gov/management_services/PDFs/SelectManual.pdf.)*

4) **New Hires –** These are the primary means through which human resources are brought into the organization. New hires are generally considered to be persons from outside Iowa state government.

5) **Onboarding –** There are a number of ways to help ensure the new hire's success in the job. Some of these include, in addition to the written offer of employment:

   - a warm welcome letter from the supervisor or manager that addresses the "informal" kinds of questions a new employee might have, like a map showing parking, restrooms, vending facilities, etc., instructions for how to join the coffee club or other such groups; their schedule, including breaks.

- clear instructions about start time.
- introduction to staff members.
- clear job descriptions, performance plans and development plans provided on the first day on the job or shortly thereafter.
- orientation to basic practices and procedures.
- a well-equipped work station ready for the new employee on the first day, instructions for accessing the computer system and other technologies.

6) **Probation -** Probation is the last step in the selection process. It's one thing to review credentials and background, ask interview questions, and obtain references. But even then, even after the person has been hired and is now on the job, the hiring authority may discover the person is not the right fit for the job. Probation is the time to discover this, before the person has attained permanent status, which would require more stringent just cause reasons to terminate them. Conversely, the employee may also decide during this period that this isn't the job for them and can voluntarily leave before they have invested considerable time in the job. Probation is also an opportunity to identify, through periodic evaluations, skills needing to be enhanced or improved.

7) **Internships** – Internships involve a temporary assignment of college, university or community college students to agency jobs, either paid or unpaid. Internships are an excellent way for students to apply theoretical concepts learned in class to real-life, practical situations. In addition to augmenting the student's academic training, they also serve as a conduit into state government for qualified students and as an opportunity for state supervisors to assess their qualifications prior to actual hire.

D. Competencies

Once established, core competencies identified as required at time of entry to the job and related to superior performance must be included as factors in recruiting and selecting employees for all positions in the organization. The competencies must be combined with any common job series and position-specific competencies that are also required at the time of entry to the job. Use of these competencies in screening will help ensure that new employees have the competencies identified as important to superior performance in the organization (the right people with the right skills).

The Applicant Screening Manual issued by DAS-HRE includes a model for the use of competencies in the selection process. In general, this process recommends the development of a selection plan for the process before starting. The plan should include identification of the competencies required for the vacancy and competencies to be used in each step of the screening process. In general, competencies to be used in screening should be included in the job posting so that applicants can provide related information. Development of a job-related weighting system of competency importance may be used as a scoring guideline for evaluating an applicant's competencies. Interviews are recommended to include behavioral-based interview questions tied to competencies, and there should be a scoring system for answers also related to importance of the competencies to the job. Competency- based reference questions should also be used.

Section 5

Phase 3: Engagement/Service Delivery

A. Retention, Development, Lateral Job Changes and Promotions

This phase represents the longest period of the employee's tenure with the organization, engagement: from the time they move into the position until the time they leave the organization. It also represents the largest group of employees at any one time (i.e., the actual workforce, as opposed to vacant positions or terminating employees), and it covers the broadest spectrum of human resource activities.

In this phase of resource management, the organization is focused on retaining the human resources in which it has invested and developing those human resources to broaden the competencies that were brought to the job.

1) Data Resources

The following data resources are could be used to describe human resource activities during this phase of human resource management:

- Workforce surveys conducted by the department. This refers primarily to employee satisfaction-type surveys, which not all departments have conducted, but could also include other kinds of surveys or other ways of collecting information from your workforce.
- "Just the Facts" annual report by DAS-HRE.
- Department-maintained training and development data.
- IITS training reports available upon request to the DAS-HRE Training Team.
- PDS Training Catalog.
- Certified Public Manager (CPM) annual report.
- Promotional data available from the DAS-HRE employment system.
- Transfer data available from DAS-HRE. This is a FOCUS report that can be generated for any department for any period of time back to FY 2000. This includes transfers into the agency from another state agency, transfers out of the agency to another state agency, and transfers within the agency. There is a cost for this report.

Data Review and Analysis Process

2) Surveys of current staff – This type of survey is generally aimed specifically at retention or may be more broad-based, focusing on employee or organizational satisfaction. In general, this type of information comes from formal tools such as surveys, but focus groups and more informal interviews could also address retention issues. These surveys may be conducted at the unit, organizational or enterprise level.

Questions this type of resource addresses include:

- What compels employees to remain with the organization? (top five)
- What conditions or factors would cause employees to search for employment outside the organization? (top five)
- What factors would encourage employees to stay if offered a job outside the organization?
- What is the general state of satisfaction with the organization?
- In what areas does the organization need to improve to raise employee satisfaction?

3) Compensation and Benefits

(See the current year's version of "Just the Facts" and the department's Fact Sheet for the questions listed below.)

- What is the organization's average base salary? What is the average executive branch salary?
- How much did overtime cost in the most recent fiscal year?
- How many vacation days were taken in the most recent fiscal year? How many average days per person does that represent?
- How many regular sick days were taken in the most recent fiscal year? How many average days per person does that represent?

4) Training

- How many staff participated in some type of internal training during the most recent fiscal year? How many training sessions did this represent? How many courses? How much time was spent? What was the total cost of training and staff time?
  (This data may not be available, if the department has not collected and maintained it over the years. If that is the case, the department may decide to begin collecting it as part of its workforce planning efforts.)
- How many staff participated in training through Personnel Development Seminars (PDS)? How many sessions? How many courses? How much time was spent? What was the cost of this training?
  (Most of this data can be obtained from the IITS report available through the DAS-HRE Training Team. Time spent can be calculated by multiplying the number of participants in any given course times the course length listed in the PDS Training Catalog.)
- How many staff have been enrolled in the Certified Public Manager program since its inception in 2001? How many are currently enrolled? How many have

graduated? How does the organization's participation in this program compare with other state agencies?

(See the Certified Public Manager annual report, available upon request to the DAS-HRE Training Team.)

5) **Promotions -** Promotions involve the movement of persons with permanent status inside the system; the action includes moving from one position, either in the current agency or in another state agency, to a position at a higher pay grade. How many promotions occurred in the last fiscal year?

(This data can be obtained from the Xfer2 FOCUS report issued by DAS-HRE for a charge.)

- What percent of vacancies filled did this represent?
  (The vacancy numbers would come from either the department's own data or from "total hires" on the Fact Sheet provided by DAS-HRE.)

- How many were from within the organization and how many came from other state agencies?
  (This data is not currently tracked by DAS-HRE. This is something the department would have to track.)

- Of those promoted, what was the ratio of Females to Males? Minorities to Non-minorities? Persons with Disabilities to Persons without Disabilities?
  (This data is not tracked by DAS-HRE for all promotions. This is something the department would have to collect.)

- What was the average length of service of persons who received promotions?
  (*The department would have to identify all promotions from its own data. Length of service can be found in the demographic data provided by DAS-HRE.)*

- What was the average length of service in the position from which promoted?
  (DAS-HRE does not currently track this data. It would have to be collected from the promoted employee by the department.)

- What percent of those promoted had been promoted previously?
  (*DAS-HRE does not currently track this data. It would have to be collected from the promoted employee by the department.)*

6) **Lateral Job Changes (Transfers) -** Lateral Job Changes ("transfers") involve the movement from the same job class to another position in the job class; persons may come from another agency or from with the current state agency. Transfers may occur under collective bargaining provisions, or they may involve movement from one position to another, even for union job classes.

- How many people had lateral job changes into the organization from other state agencies in the previous fiscal year? What percent of vacancies filled did this represent? How many were contract transfers?
  (This data can be obtained from the Xfer2 FOCUS report issued by DAS-HRE for a charge and from the Fact Sheet. Contract transfers would have to be tracked by the department.)

- How many people had lateral job changes out of the organization to other state agencies in the previous fiscal year? What percent of separations did this represent? How many were contract transfers?

  (This data can be obtained from the Xfer2 FOCUS report issued by DAS-HRE for a charge and from the Fact Sheet. Contract transfers would have to be tracked by the department.)

- How many internal lateral job changes occurred in the previous fiscal year? What job classes did these represent? How many were internal transfers? Were any units more affected than others by these actions?

  (*This data can be obtained from the Xfer2 FOCUS report issued by DAS-HRE for a charge. Affected units would have to be identified by the department using this report.)*

7) Recalls

- How many vacancies were filled by recalls in the previous fiscal year? What job classes were represented? What percent of vacancies filled did these represent?

  (This information would have to be collected by the department, although the number of hires would come from the Fact Sheet.)

- How many recalls were previous employees? How many came from other state agencies?

  (This information would have to be collected by the department, although the number of hires would come from the Fact Sheet.)

Data Analysis – What Does the Data Tell Us?

- This phase of human resource management focuses on the other primary staffing strategy: developing and retaining a quality workforce. There is no way to list here every permutation of the data you might collect in this phase of resource management, especially if not all the data is available or current. What can be provided, though, are some general guidelines to consider, which may already have become evident by the type of questions asked above.

- Enterprise data indicate that *over half* of new hires leave the agency within the first three years on the job (five-year average). That fact alone is extremely significant and should be taken into consideration both in the hiring process and post hire steps taken to retain the employee. The hire should be a good fit; the new employee's skill set should match the requirements of the job and the new employee's expectations of the job should be realistic. In addition, the organization needs to be aware of and use practices that tend to foster retention of quality employees. Employee satisfaction surveys are intended to identify potential problems and perceived benefits of working for the organization. Exit interviews and exit surveys address some of the same types of information but only as the employee leaves. Information gleaned from exit interviews and exit surveys is mainly beneficial to existing or future staff and is discussed in more detail in Section 6.

- Pay is frequently cited as a key reason why turnover occurs. However, according to the most recent Central States Compensation Association compensation survey of the 27 member states, Iowa ranks third in average employee salary. So in the overall sense, state employee salaries reflect the marketplace when compared to other states. Nonetheless, pay issues continue to surface frequently, both in requests from individual agencies to review the grades of certain job classes and in collective bargaining negotiations. The workforce planner needs to be aware of the pay relationships in the agency in order to identify recruitment and retention problems as well as the impact of one job class' pay grade on the overall pay relationships within the agency.

In the State's 2004 Exit Survey results, pay was not listed in the top five reasons why state employees left state employment. However, questions related to pay produced mixed reactions of respondents. Most agreed to some extent (82.8%) that the benefits they received met their expectations. Most agreed (68%) that they were paid fairly for their work. But they split on their agreement that they were recognized when they did exceptional work (50.6% disagreed, 49.4% agreed) and that their pay was similar to the employees performing the same jobs in the private sector (52.3% disagreed, 47.7% agreed).

- Assessment of the organization's training and development efforts is one of the more difficult types of workforce planning information to obtain in Iowa state government. There are at least two reasons why that is the case. First, training and development covers a broad spectrum of activities, some of which are not deemed by all to actually be training and development. So not everything that could be tracked, such as training costs and training participation is fully tracked. DAS-HRE can generate reports indicating the number of PDS participants for a given year, the cost of their training and courses they took, but we are not able to list everyone who did not participate in training for the current year or when they took their last training course. And second, the items that are tracked as training and development fall into numerous budget categories, which don't readily cluster as distinct training and development activities. What we do know is that the State's investment in training and development is a small percent of its overall budget.

  Another issue about training and development is that it has typically tended to occur in a vacuum in many agencies. Very few individual development plans exist for individual employees, let alone unit or agency development plans. Training and development need to be better aligned with the State's performance evaluation process as well as workforce planning efforts. Therefore, the more data the workforce planner can generate describing the agency's past and current training activities, the sounder the base they'll have for future development planning. For more assistance tracking training and development activities, contact the State Training Coordinator at PDS.

B. Resource Utilization

Comparatively speaking, this phase of the work cycle represents a much larger segment of time than the other three, although typically more emphasis seems to be placed on the activities associated with entry into and separation from the workforce. This phase represents the time spent in the job by the incumbent from shortly after hire until the day they walk out the door. This is the period where the potential of the resource should be activated and realized.

During this phase, as part of activating the resource, the resource manager has three main ways to utilize the resource:

- The Resource can grow in the job. This is referred to as the **Develop/Retain** track. The job remains essentially the same throughout the phase, although the duties or assignments may change slightly. What really changes is the job incumbent's knowledge about the job, presumably increasing and improving over time. As that occurs, it becomes all the more important to the organization to retain the investment it has made in that resource.

- The Resource can produce results. This is the **Perform/Reward** component. To do this, employees need to know what is expected of them in concrete terms, receive periodic feedback, and be given a formal performance evaluation at least annually. A mechanism should also be built into the process to accommodate changes in expectations that occur during the evaluation period. Rewards should be based on specific results and relate to the various kinds of incentives that motivate employees.

- The resource manager may also find that the resource is critically needed for another similar job or not needed as much in the current job as it is needed elsewhere to do the same or similar job. Within the context of workforce planning, this is referred to as a **Shift in Job Duties**. In a related action, a **Shift of Positions** occurs when the position is moved to another organizational unit, e.g., moving an Administrative Assistant 1 from one bureau to another. As resources become more scarce or as staffing needs change in the future, this option may be used more frequently.

C. Strategies

1) **Reclassification** – The job itself my also change over time as new, different duties are added or taken away/eliminated. In these cases, it may be necessary to review the position to determine if it is still appropriately classified. This is the process of Reclassification. The position is not shifted elsewhere or invested in another function so much as it simply changes over time. (For more information about Reclassification, see Chapter 3 of the Managers and Supervisors Manual at http://das.hre.iowa.gov/ms_manual_chapter_03.html.)

2) **Shift in Job Duties** – The process of giving a position different job duties that are still appropriate for the present job class is called a Shift in Job Duties. It occurs as work requirements, workload, technology or other external demands change. In the generic sense, this strategy is also referred to as a "transfer." However, because our collective bargaining agreements include specific provisions defining transfers, this strategy is referred to here under a different title.

3) **Shift of Positions –** The process of moving a position, complete with current job duties, to another unit within the organization in the same geographic location is referred to as a Shift in Positions. The term is sometimes referred to as Redeployment in a broader sense to refer to the generalized process of shifting positions within the organization to meet revised or emerging needs that take precedence over the prior work assignment. However, caution should be employed in using this term since redeployment has been used interchangeably in a previous collective bargaining contract with the term "layoff."

4) **Retention (Compensation and Benefits, Work Life, Job Satisfaction)** – By the time someone has been hired through a recruitment and selection process and been oriented to the job, a major investment has been made in this human resource. For the organization to realize its investment in this person, the individual must contribute productively to the output (service delivery) of the organization. The person needs to remain with the job long enough to do that. That's why Retention is such an important strategy to this phase of resource management.

There are several approaches to this strategy:

a. **Compensation** includes the various kinds of direct pay received by the person: base pay, overtime, shift differential, bonuses, increases to base pay (merit, across-the-board), changes to the pay plan, etc. Pay is usually the first method used as an incentive for people to stay on the job. For some, pay is a way of defining their value to the organization. However, pay doesn't address all reasons an employee has for staying in the job. *(For more information about Compensation, see the Pay Plans on the DAS-HRE website at http://das.hre.iowa.gov/pay_plans.html and Chapter 5 of the Managers and Supervisors Manual at http://das.hre.iowa.gov/ms_manual_chapter_05.html.)*

b. **Benefits** are another type of incentive the organization uses to entice someone to join and remain with them. Benefits include a wide range of options for making the job more attractive: health, life, dental and other types of insurance; leave; deferred compensation; workers' compensation; employee assistance; tuition reimbursement, etc. Most of these require funding in addition to the compensation options mentioned above, although there are also other cost-free or low cost "perks" like parking places, office placement, break rooms, etc. which contribute to the quality of working conditions. *(For more information on Benefits, see the DAS-HRE Benefits website at http://das.hre.iowa.gov/benefits.html and Chapter 6 of the Managers and Supervisors Manual at http://das.hre.iowa.gov/ms_manual_chapter_06.html.)*

c. In recent years, more attention has been focused on other aspects of jobs that make them more attractive. **Work life** is the generic term that has emerged to describe these options. Work life includes such practices as job sharing, flexible schedules, telecommuting, etc. These are aimed at a specific segment of the workforce that is just as interested in this aspect of their jobs as compensation and benefits.

d. **Job Satisfaction** encompasses all of the above approaches to retention in addition to other aspects of the work culture which have a positive or negative impact on the way the person feels about their job. All of the above may be doing their part to keep the employee on the job, but if the work climate is negative, the employee may still leave. Work climate encompasses intangibles like quality of supervision, co-worker relationships, management philosophy, perceived career advancement opportunities, meaningfulness of work, and the underlying unspoken, unwritten work culture.

5) Employee Development and Training - Human resources are not static. If not utilized and developed appropriately, they not only do not grow, they degenerate and stagnate. Employee development involves identifying the areas needing improvement, needing enhancement, or needing to be added to the employee's repertoire of competencies because work requirements are changing. Development comes in many forms. It may be initiated by the employee, by the employee's supervisor, by management directive, or sometimes, it simply happens as a result of other events. Development may be formal through such settings as classroom teaching or informal through other methods like challenge assignments. *(For more information on employee training and development, see the Personnel Development Seminars website at http://das.hre.iowa.gov/LearnAtPDS/traininghome.htm.)*

6) Performance Evaluation – Many people, both employees and supervisors, dread performance evaluation. Ironically, experts tell us one of the key motivating factors of performance is wanting to know how you are doing on the job. Though performance evaluation includes the formal performance appraisal, and in some cases, a performance rating, it is also a cycle which starts with a performance plan and throughout includes feedback, assistance, and monitoring. Performance evaluation is one of the primary means of identifying areas where development is needed and thus goes hand in hand with Employee Development. (*For more information about performance evaluation, see the Performance Evaluation website at http://das.hre.iowa.gov/performance_plan_and_evaluation.html.)*

7) **Job Redesign** – As mentioned in the Planning for Service Phase, job design is defined by Mathis and Jackson as "organizing tasks, duties and responsibilities into a productive unit of work." Job Redesign is similar, only it deals with the filled position and identifying ways to modify the job to make it more stimulating and meaningful to the employee while still accomplishing the job requirements of the organization. Per Mathis and Jackson, **Job enlargement** "involves broadening the scope of the job by expanding the number of different tasks to be performed. **Job enrichment** involves "increasing the depth of a job by adding responsibility for planning, organizing, controlling and evaluating the job." The supervisor who employs these strategies should be aware that they may also affect the classification of the position.

D. Competencies

The organization's core, common and position competencies form a base for development plans for new and current employees. These plans must be aimed at ensuring that employees have the "right" competencies at the level required for the job.

In addition, these competencies can also play a role in retention of employees. This role is important because retaining the "right" employees with the "right" competencies required for organizational success can have a major impact on the future of the organization.

Significant investment in human resources is required to ensure that the "right" competencies are possessed and applied to reach the organization's strategic objectives. Because of this investment, is important to be able to identify who possesses these competencies at the right level and who is applying them effectively. For this reason, it is important that competencies be incorporated in performance evaluation and development activities.

Section 6

Phase 4: Separation from Service

A. Turnover, Retirements and Projected Retirements

This section looks at past history to project future separations. Separations are considered to be any instance of an employee leaving the organization, either voluntarily or involuntarily; separations represent the total picture of who left. Turnover, on the other hand, refers to voluntary separations. The workforce planner is interested in this type of information because it reveals who is leaving, how many left, and why they left, all factors to be considered in future staffing plans and hiring.

Retirements are a sub-set of turnover and for the purpose of this data analysis, should be treated as a distinct group apart from other turnover, because the reasons for retirement differ from the other reasons why employees leave. Retirement will tend to be a major part of separations in the next decade, as the baby boomer generation begins to leave the labor force or begins other careers outside state government. Planning for these changes is a critical part of current workforce planning efforts. The better the organization can anticipate this type of turnover, the better it can prepare for the organizational changes it will bring in its wake, particularly transfer of knowledge.

1) Data Resources

The following data resources are available for studying separation from service:

- Turnover reports provided by DAS-HRE upon request. These include age, length of service, and reason for terminating including retirements and voluntary and involuntary separations. Additional demographic information such as sex, minority, PWD, and job class can also be included.
- "Just the Facts" for the current year.
- Fact Sheet provided by DAS-HRE.
- Retirement Calculator, an EXCEL report that calculates potential upcoming retirements based on the three conditions of retirement eligibility. This report is typically run at the beginning of the fiscal year but can be run at any time upon request to DAS-HRE.

Data Review and Analysis Process

2) Overall Separation Rate

- What was the separation rate in the most recent fiscal year? How does this compare to previous years? How did these separations break down – number of voluntary versus number of involuntary separations, number of retirements, number of terminations? How does the organization's rate of separation compare to that of the Executive Branch as a whole?

(The bulk of this information comes from turnover reports obtained from DAS-HRE on request. For comparisons to the entire executive branch workforce, use "Just the Facts.")

3) Turnover by Gender

- How many females left the organization? What percent of the female workforce did this represent? What percent of the total workforce did this represent?
- How many Females retired? What percent of overall retirements did this represent?
  (The bulk of this information comes from turnover reports obtained from DAS-HRE on request. For comparisons to the entire executive branch workforce, use "Just the Facts.")

4) Turnover by Ethnicity

- How many minority employees left the organization? What percent of the minority workforce did this represent? What percent of the total workforce did this represent?
- How many minority employees retired? What percent of overall retirements did this represent?
  (The bulk of this information comes from turnover reports obtained from DAS-HRE on request. For comparisons to the entire executive branch workforce, use "Just the Facts.")

5) Turnover by Age

- What was the average age of voluntary terminations (all, minus retirements, retirements only)?
- Which age groups experienced the most turnover? The least?
- What job classes tended to lose the oldest employees (retirements and non-retirements)?
  (The bulk of this information comes from turnover reports obtained from DAS-HRE on request. For comparisons to the entire executive branch workforce, use "Just the Facts.")

6) Turnover by Tenure

- What was the average tenure of voluntary terminations (all, minus retirements, retirements only)?
- Which tenure groupings tended to experience the highest turnover? The lowest?
- What job classes lost the highest tenured employees? The lowest?
  (The bulk of this information comes from turnover reports obtained from DAS-HRE on request. For comparisons to the entire executive branch workforce, use "Just the Facts.")

7) Retirements

- What retirement systems cover the organization's workforce? If more than one, how do their retirement provisions differ from each other?

(Most executive branch employees are covered by IPERS. For more information about IPERS provisions, go to: http://www.ipers.org/. For information about the Department of Public Safety's Peace Officers Retirement System (PORS), go to http://www.state.ia.us/government/dps/asd/por.htm. For an overview discussion of the public retirement systems in the State of Iowa, go to: http://www.legis.state.ia.us/lsadocs/TopicPres/2005/PPRNR003.PDF.)

- How many retirements occurred in each system in the past fiscal year? Past 2-3 fiscal years (for trend data)? What was the average age and average tenure at retirement?
  (The bulk of this information comes from turnover reports obtained from DAS-HRE on request. For comparisons to the entire executive branch workforce, use "Just the Facts.")

- What job classes were most affected?
  (The bulk of this information comes from turnover reports obtained from DAS-HRE on request. For comparisons to the entire executive branch workforce, use "Just the Facts.")

8) Projected Retirements

(All of the questions below can be addressed with data from the Retirement Calculator. This resource does not provide information about prior IPERS service or buy-back service.)

- How many employees are eligible to retire in the next year? Two years? Three Years? Five Years? Decade?

- What job classes could be affected by the most potential retirements?

- What segments of the organization could be most affected by potential retirements?

- How could potential retirements affect female representation in the organization? Minority representation?

- What skill/competency gaps is the agency most likely to experience in the next few years?

9) Layoffs and Dismissals - Unlike the other actions cited in this section, these two actions are involuntary for the employee. Because they are initiated by the organization rather than the employee, they tend to be viewed in less positive terms, although they are both necessary actions when the circumstances warrant. Because they are different from other kinds of separations, they should be reviewed and analyzed apart from the others.

- How many employees were laid off in the previous fiscal year? What job classes were affected? What units? How many and what percent of the total were covered by collective bargaining contract and how many and what percent were non-contract? What was the percent of Females to Males? Minorities to Non-Minorities? Persons with Disabilities to Person without Disabilities?
  (The bulk of this information comes from turnover reports obtained from DAS-HRE on request. For comparisons to the entire executive branch workforce, use "Just the Facts.")

- How many employees were dismissed in the previous fiscal year? What were the causes cited? What units were affected? What was the percent of Females to Males? Minorities to Non-Minorities? Persons with Disabilities to Person without Disabilities?

(The bulk of this information comes from turnover reports obtained from DAS-HRE on request. For comparisons to the entire executive branch workforce, use "Just the Facts.")

- How many at-will employees were dismissed or laid off? What was the percent of Females to Males? Minorities to Non-Minorities? Persons with Disabilities to Person without Disabilities?

- How many employees chose to bump to other positions rather than be laid off? What was the average change in pay grade for these transactions? What job classes were affected?

10) **Exit Survey information –** This type of information is similar to the retention/employee satisfaction surveys described above, except it relates only to those employees that actually left the organization. Both types of information are important; the retention/employee satisfaction survey taps employees from a more conceptual, what-if perspective. The exit survey/interview obtains its information as they are about to leave or have left, when there is more definitive reason behind their actions. The exit survey/interview tends to cover a smaller group of employees, so data may be skewed or show fewer trends until it has been collected over a period of years.

    The organization may collect this data. This is usually done as part of an exit interview process, where the departing employee is either asked certain questions about their reasons for leaving or asked to complete a questionnaire, usually close to termination. DAS-HRE also collects this type of information for all employees who have either voluntarily quit state employment or moved to another agency. This is done as a follow-up, and surveys are sent to the employees approximately 60 days after their departure. This provides a different perspective in which the information is collected by a third party.

- What are the top five reasons why employees have left the organization?

- How many would have reconsidered their departure? What factors would have caused them to reconsider?

- How many were asked by their supervisor to reconsider their decision?

- How many left for another/"better" job outside state government? How many left for other state agencies?

Data Analysis – What Does the Data Tell Us?

10) There is no way to list here every permutation of the data you might collect in this phase of resource management, especially if not all the data is available or current. What can be provided, though, are some general guidelines to consider, which may already have become evident by the type of questions asked above.

- The statewide exit survey for the last five years has identified the following as the top five reasons respondents listed for separating from state employment:

    - Working conditions
    - Quality of supervision
    - Career Advancement Opportunity
    - Organization Culture

- Co-worker relations

How do these compare to your agency? If they follow suit, they should suggest several courses of action to be considered to stem the tide of departing employees. The generic category of working conditions covers broad territory. What, in particular, about your agency's working conditions is making people want to leave? Quality of supervision suggests that supervisory relationships are perceived by some employees as problematic. What specifically is not working?

- Departing employees typically cite lack of opportunities for career advancement when they've either not received the promotions they sought, not been aware of advancement opportunities, or where none have been present, due to a very stable workforce or a perceived end of the career ladder. Is that true? Do you have a basically "flat" organization where upward advancement is rare? If so, what other kinds of incentives are available or could be established to offset this concern?

- Organizational culture is also discussed in Section 3, but it bears repeating here. How would you describe the organization's culture and the "health" of its culture? What are the underlying principles upon which the organization operates? How would you describe the "informal" culture, the unwritten, often unspoken rules that grow up surrounding leadership expectations and perceptions about leadership? How "open" is the employee forum of ideas? Can staff express their ideas openly, even if they run counter to leadership's policies? Is "communication" frequently cited as a problem? If so, what does that mean in your agency's particular circumstances? Performance and Development Solutions (PDS) is available to assist agencies in assessing their organizational culture.

- Unhealthy relations with co-workers can also send employees looking for other jobs, especially if they perceive that leadership either tolerates or promotes such a work climate. Sometimes this manifests itself openly in fights and dissention. More often, it goes underground and shows up in the form of backstabbing, innuendo, and lack of trust.

B. Resource Suspension

Resource management is a cycle. Resource managers plan how to use the human resources within their control, they find the appropriate human resources and put them into play by hiring them, then they develop them, and eventually those human resources move on. Before the cycle starts again, the utilization of the resources is suspended for a period of wrap up and reflection. People leave their jobs voluntarily and involuntarily. As noted earlier, voluntary separations include **Turnover** and **Retirement.** Involuntary separations include terminating the employee (firing or layoff) or death. Each of these avenues of departure involves its own sets of processes and procedures.

C. Strategies

1) **Succession Planning** – Succession Planning embodies the concept of having "the right person with the right skills in the right job at the right time." The "right time" part refers either to jobs critical to the organization that become vacant in the usual course of turnover patterns (key leadership positions or one-of-a-kind/hard-to-fill jobs, and mass exodus) or positions vacated by retirements. The focus here is to develop a contingency plan well in

advance so that when the vacancy occurs, the replacement can be found and placed expeditiously with a seamless transition and little or no loss of productivity.

Succession planning can be as non-complex as overlapping appointments in key positions so that the hiring and initial training processes can take place while the current incumbent is still present. The new hire benefits from the transfer of knowledge. Succession planning can also be more complex involving the identification of competencies needed for key positions, assessing current staff to determine their present capacity, determining the gap and then establishing development strategies to address the gap before the critical positions become vacant.

One of the succession strategies the state enterprise has embraced in the last few years is the *Certified Public Manager* program, a seventeen-month training vehicle offered by the State's partner, Drake University, to expose emerging leaders to the various concepts of managing in a public setting.

2) **Knowledge Transfer –** Over time, human resources develop institutional knowledge, intangible knowledge gained from experience and the interaction of job skills with the policies, procedures and practices of the organization. Unless intentional capture of that knowledge occurs before the individual walks out the door, the investment in that resource's intellectual capacity is lost and the organization must rebuild the institutional knowledge with the next incumbent of the job. More on knowledge transfer strategies can be found in Appendix C.

3) **Senior Workforce** – Retirement doesn't necessarily mean the end of a work career. It may simply indicate that one stage of the career has bloomed and reached its peak, and the individual has moved on to another career. Increased reliance on a senior workforce is an option many organizations are turning to more frequently as the entry labor force diminishes. The advantage of doing this is having a workforce that is already trained, though those competencies may have to be reshaped for new jobs.

4) **Reduction in Force** – On occasion, leadership must intentionally reduce the size of the workforce when funding decreases or certain types of work no longer need to be done. Layoffs are a difficult though necessary means of staffing and need to be conducted with fairness and concern for those affected. Thus, planning for a layoff is more than determining which positions to cut; it also involves helping the affected individuals through the process and determining the impact of these staffing changes on the organization. *(For more information on Reduction in Force, see Chapter 16 of the Managers and Supervisors Manual at http://das.hre.iowa.gov/ms_manual_chapter_16.html and the collective bargaining agreements with the three state employee unions at http://das.hre.iowa.gov/pdfs/union_contracts/2005-2007_AFSCME_Contract.pdf for AFSCME, http://das.hre.iowa.gov/pdfs/union_contracts/spoc_contract_2005-2007.pdf for SPOC, http://das.hre.iowa.gov/pdfs/union_contracts/iup_science_unit_contract_2005-2007.pdf for IUP, and http://das.hre.iowa.gov/pdfs/union_contracts/iup_science_unit_contract_2005-2007.pdf for IUP Professional Social Services Unit.)*

5) **Phased Retirement** – To help the individual ease into retirement, either for financial or habitual reasons, or to help the organization prepare for the eventual retirement of certain individuals, the retirement process can sometimes be spread out over a period of years. This has the benefit of providing time to plan for and accommodate the change. On the other hand, it means prolonging the change rather than dealing with it immediately. *(For more information on phased retirement, see DAS Administrative Rule 11—60.1(1)(b) at http://www.legis.state.ia.us/Rules/Current/iac/11/1160/1160.pdf.)*

D. Competencies

Though this phase of resource management represents the period following the employee's separation from the workforce, it presents the manager with the opportunity to reflect on the previous incumbent's performance and contributions to the organization before returning to the first phase of the cycle. What competencies possessed and demonstrated by the previous incumbent are still needed, and which are no longer as critical to job performance? Are the behavioral indicators for needed competencies still the same, or have they evolved over time or been replaced as the result of new technology or changes in work expectations or work climate?

Section 7

Findings and Recommendations

This section is a compilation and summary of all the data and information collected. It isn't a rehash of all the data and information. By this point, the workforce planner has scoured them and gleaned the most telling, profound, useful statements they are indicating. These are the "findings." Findings are more than a restatement of the facts; findings require analysis and interpretation. Findings are the foundation of the workforce plan. Used in conjunction with the organization's strategic plan, they are what the workforce planner employs to recommend the future actions/directions the organization should pursue in building and shaping its workforce.

Recommendations should not emanate from a vacuum. They should be based on solid data and other evidence collected by the planner. Without that data and evidence, recommendations are rudderless.

A. Findings

1) Gather the data collected

Data collection is an integral, necessary part of planning. Good planners tend to work from data collection plans so they know from the beginning what they need, where they need to look for it, what they still need and how they plan to obtain it. They also realize that, at some point, further data collection will not add that much more to the final product and design that end point into their efforts. They also realize that they will probably not be able to collect the entire universe of data and information available on the subject. Some items may not be included or may be added at a later time.

The first step in assembling the findings is to pull together the data collected. This is particularly necessary when a task force instead of an individual has been developing the workforce plan, because they may have split up the responsibility for data collection, and the group may not have seen the whole collection.

2) Assure accuracy

Once the data and information have all been brought together, it should be reviewed again for accuracy, preferably by other eyes than those of the initial collectors. In addition to assuring that the right data has been collected appropriately, accuracy also means assuring that the all the data is there (no key pieces have been omitted, deleted or are unaccounted for) and assembled properly. Accuracy also means revisiting the assumptions that went into collecting and compiling it.

3) Document sources

This step is undertaken for two main reasons. First, it is to demonstrate that it was collected by someone or some procedure that is credible. And second, documentation shows future plan reviewers how they can locate and reconstruct the data should that be necessary. The amount of documentation depends on the organization's expectations and the type of data and information collected.

4) Isolate and identify key points

Data is simply data. Analysis is necessary for the significance of the data to be demonstrated. Data also tends to be neutral, i.e., a fact is a fact. This is the point at which an interpretation of the data is made. There may not be only one way of viewing its significance. It is the role and responsibility of the planner to find meaning in it. Meaning is the foundation of motivation. Motivation brings action.

Data analysis is undertaken in at least three phases. The first phase is simply to work through the data and attach meaning to it. The second phase is to group the data into natural categories so that like data goes with like data. Finally, the planner sifts through these categories, discerns trends and takes from them the most significant things they are saying.

5) Avoid overkill

There is a tendency for this type of undertaking to be comprehensive to the point of not being able to see the "forest for the trees." Should this happen, there is no focus to the plan, just a hodgepodge of ideas. And the plan does not succeed in its purpose.

Beginning with a coherent data collection plan helps offset this tendency. The data collection plan should lay out the main hypotheses and identify data and other information that can be used to test them. Continual evaluation of the data, not just what it's saying but also if it is responding to the main hypotheses will also help avoid overkill.

Although the planner continues to refine the findings to get to the essence of what the study has revealed, this should be done within reason. If the planner does not have a good "feel" for the completeness, deadlines could instead be used to assure that the process does not continue aimlessly.

B. Recommendations

1) Hit the high points first

With the advent of technologically based presentation formats, e.g., PowerPoint, the practice of putting key points in bullets may have been stretched beyond its usefulness. Nonetheless, "bulletizing" has become a way of life as a protection or shortcut the brain uses to wade through masses of information. Knowing that most human beings can only remember and absorb so much information at a time, it is important to keep the list of key points to be made short, and, knowing that the attention span appears to have diminished thanks to such modern-day techniques as sound bites, to focus on the most important points first, like a news story.

2) Keep it simple

In addition to keeping the list short and focusing on the most important points first, it helps get the point across if it is stated simply and clearly. In this type of study, where there is so much data available, the tendency is to summarize in academic terms – long, complex sentences, academic vocabulary. That's not necessary here, and in fact, is counterproductive.

3) Focus on the do-able

The point of putting together this workforce plan is to produce results, the kind of results that will help the organization achieve its goals. In order to produce results, there has to be something the organization can do to move a particular situation from Point A to Point B.

What kinds of things are do-able? As a start, consider the following:

- There is a specific, defined problem to be addressed.
- There is a known, workable (proven) method or procedure for obtaining the results desired.
- Desired results can be measured to determine if they have been accomplished.
- Buy-in, if not currently evident, is possible. The recommended direction can be sold to those in charge. That doesn't mean it will be, but it is possible to do so. The planner is not facing a brick wall.
- Necessary resources can be made available.

4) Provide guidance, specificity as necessary

Even though the point above recommends simplicity of expression, there may be times when additional information is necessary in order for the reader to comprehend what has been recommended. Additional information may provide examples or it may lay out how the planner sees the recommendation being implemented. This is the kind of need that may not be evident to the writer but will be to a second reader.

5) Assure buy-in, consensus

The greatest plan will not succeed if others don't believe in it and are not willing to support it. Many a plan or report has been filed away never to be seen again, because the intended audience didn't care what happened to it. The planner not only has to develop hypotheses, collect data to test them, analyze the data, and develop recommendations, but must also sell the plan to others. Everything the planner does throughout the planning process should keep this point in mind and work toward it.

In addition to focusing on a short list of clearly stated feasible recommendations, the most important listed first, the planner must evaluate each recommendation for its relationship to the wants and needs of the intended audience. How will these actions benefit them? What difference will these actions make in their lives?

To get to this point, the planner needs to know the audience, either from observation or from asking them what they want and what is important to them. That is why surveys of the intended audience are frequently conducted near the start of a study, including workforce planning studies, to establish a baseline of shared interests that the planner can return to in selling the recommendations.

C. Have a plan

How odd, to place this point here, at the end of this guide. Of course there has to be a plan! That's the whole point of this exercise. But strangely enough, sometimes the plan part gets overlooked or downplayed in the rush to collect data, conduct other aspects of the planning project or develop recommendations. The workforce plan should not be confused with a work plan for accomplishing any of the segments of the workforce plan. Those are most likely shorter term but also much more detailed.

The workforce plan, like the findings and recommendations, should be straightforward and simple. The details and supporting documentation can be placed in the Appendix.

The Plan should address the following points:

- What do we know about our workforce, today and three (or five or ten) years from now?
- What do we expect from our workforce, today and three years from now?
- What does our workforce need in order to meet our current and projected expectations?
- What are the key strategies we will employ to address those needs? (See the Data Analysis – What is the Data Telling Us? and Strategies segments in Sections 3-6.)
- How will we stage our efforts to address those needs?

Section 8

Workforce Plan Evaluation

Workforce planning is not an exact science. Though there are some general concepts that apply to most situations, what works for one organization may not work for another. And what works for an organization at one time may not work at a later time.

In light of the above statements, workforce planning efforts are best undertaken in stages with the understanding that modifications will probably be the norm throughout the process rather than aberrations to be avoided. That said, the workforce planning process should build in frequent evaluation points. At the very least, evaluation should include the following:

A. What worked?

1) Set reasonable objectives for each phase

Anyone who has done any research about workforce planning must have realized what a vast and at times complicated process it is. That is because it encompasses so many aspects of human resources and resource management and because it is relatively new in practice and basic principles are still evolving. This can clog the workforce planning task force with overkill, to the point that some become confused and consider withdrawing their participation.

To offset this situation, the workforce planning group should recognize the potential that this will happen and plan for it. The best plan is simple, comprised of a few basic objectives to be undertaken in a given period of time.

2) First, establish baselines

To determine if progress has been made, workforce planners need to know where they started. Baselines are not necessarily data; they can also be current situations compared to future situations after objectives have been met. In other words, in order to know how far you've come, you have to know where you started.

3) Focus on the positive

As indicated above, workforce planning efforts can fast become complex and self-defeating. Before that occurs, workforce planners need to direct their attention to the small steps they've taken, the small distance they've come. (Leaps are great too, but they don't always happen.) As the heading title suggests, what worked?

4) Understand why it worked

This part can be more difficult, answering "why" after identifying "what." The key to answering it is to understand the objectives discussed in #1 above. Was the objective clear to all involved? Was the objective feasible? Were enough resources, including time limits, provided to make it possible?

B. What would we have done differently?

1) What didn't go so well?

This is a natural progression from the questions discussed in A. If everything went well, celebrate the success. If that wasn't the case, then learn from it to avoid it happening again and to use it to your advantage. The first step is being specific; nothing causes confusion or a sense of unease faster than the unknown. Describe it, put a name to it.

2) Seek consensus

Not everyone may agree with the list. Determine why that is the case. Attempt to revise or restate the problem to acquire buy-in from all. If that's not possible, identify the different perspectives and move on.

3) Why didn't it go well?

This is the "why" part of the exercise. It could be the most important part of the evaluation, because describing it and planning for how to avoid it happening again in the future is the key to future progress. Ask the same questions asked in A.4) above, only from the standpoint of which of those things didn't happen. Be specific. Employ specific data and measures.

C. What still needs to be done?

1) Is there a Phase 2 to the objectives?

If the objectives were kept simple and feasible, then there may be additional parts to be addressed in the future. This is the first point to consider as far as where you go next. Build on successes.

2) Do any of those things that didn't go well need to be redone?

Some missed objectives need to be left in the sand. You learn what you can from them and move on. On the other hand, sometimes you have to take another run at them, especially if you have learned from your mistakes and have equipped yourself to approach them differently. The first step is to realize that both of the above situations are possible and determine which applies to your situation.

3) Address the answers to B.2)

Having determined whether the lack of clarity or the infeasibility of the objective impeded its accomplishment or whether it was a question of resources or some other problem that got in the way, you now need to build the next stage around the response to these problems. You may not be repeating or redoing the objective. You may pursue totally different avenues. But the same forces may still prevent you from being successful in the next phase, if you don't account for them and build your plans with them in mind.

Section 9

Appendix - Introduction

The Appendix is a critical part of the workforce plan in that it is the repository of all the data and information cited throughout the rest of the plan. Due to the data-intensive nature of this type of human resource activity, it is not practical or wise to load down the various sections of the plan with all the data that has been collected. It is important to focus the reader on the most critical, telling description of the organization's workforce and where it is going through clear and concise lists, graphics and other data displays.

But it is also critical that all the data that has been used to prepare the plan be readily accessible so that the reader will have available a broader picture of the data and that the assumptions made throughout the planning process can be documented.

The format of the Appendix depends on the nature of the report, the amount of data collected, the workforce planner's style, and what makes the most sense. Generally speaking, it should be sequential, the placement of data and reports following the sequencing of the sections.

It may also be more practical to make part of the Appendix virtual, in other words, provide the data in the form of hyperlinks to other data sources. For instance, several spreadsheets may have been created. These may not readily convert to layouts that fit in the plan format. If the plan is primarily intended for the organization, the workforce planner may simply link the reader to the organization's database. Be careful if using Internet links, as these tend to change or are subject to deletion over time.

Section 10

Workforce Plan Templates

A. Instructions

The following outline combines the data segments found in Sections 3-6, including the questions to be asked about the data, with the basic steps to be taken in developing a workforce plan. Not all data is required for the initial plan. Use what you have or can easily obtain and identify areas where the agency may need to start collecting additional data and information.

As indicated in Section 1, we recommend you review Sections 3-6 and 7-9 before starting the workforce plan, as they contain background information that explains the rationale for including certain kinds of data as well as cautions about the data's limitations.

The first template can be formatted as a form, as a spreadsheet, or as a report. Formatting has been left to the user, depending on your needs and tastes. The second template, the abridged version, has been formatted. This is the version to use if you are just getting started and only want to include basic information. Parts

The data section appears quite lengthy. You will be surprised how much you can fill in and how quickly using the current year's "Just the Facts," your retirement calculator, your current affirmative action plan, and your budget, although there are other areas where you will need to collect additional information.

STATE OF IOWA
AGENCY WORKFORCE PLAN TEMPLATE

I. Strategic Plan

A. Major future initiatives

B. Environmental Scan

1) Strengths, Weaknesses, Opportunities, Threats (SWOTs)

2) Internal assessment

   a) Work culture

   b) Employee satisfaction - Surveys of Current Staff
      - What compels employees to remain with the organization? (top five)
      - What conditions or factors would cause employees to search for employment outside the organization? (top five)
      - What factors would encourage employees to stay if offered a job outside the organization?
      - What is the general state of satisfaction within the organization?
      - In what areas does the organization need to improve to raise employee satisfaction?

   c) Demand Analysis
   d) Supply Projection
      - Current capacity
      - Anticipated competencies
      - Gap analysis

3) External assessment

   a) Customers

   b) Stakeholders

   c) Economy

   d) Anticipated changes in technology

   e) Anticipated programmatic changes

   f) Status of current and future labor market

II. Planning for Service

A. Overall workforce demographics

1) Number of positions, now, a year ago and five years ago.

2) Number of full-time positions, part-time and other (specify)

3) Organization's size compared to the overall state workforce

4) Core business and main business lines

5) Most frequently used job classes and assigned EEO categories

6) Most populous job classes and number of positions in each

7) Number of job classes covered by one of the three state unions; specify by job class

B. Jobs by Sex

1) Female percent of workforce; male percent

2) Most populous females job classes

3) Percent of overall female workforce found in the top five most populous job classes

4) Most populous male job classes

5) Percent of overall male workforce found in the top five most populous job classes

C. Jobs by Ethnicity

1) Non-white percent of workforce

2) Comparison of non-white workforce to State's overall workforce

3) Comparison to the Iowa labor force

4) Percent of the workforce in each of the minority sub-groups

5) Trend information for last decade (increase, decrease, remained the same) (Refer to past editions of Affirmative Action in Iowa.)

D. Jobs by Age

1) Average age of organization's employees

2) Comparison to State's workforce

3) Trends related to types of jobs the youngest and oldest employees occupy

E. Jobs by Tenure

1) Average tenure in the organization

2) Comparison to average tenure for State's workforce

3) Trends over last decade (increase, decrease, remained the same)

4) Highest average tenure by job class

5) Lowest average tenure by job class

III. Entry into Service

A. Hires

1) Number of positions filled in the last fiscal year

2) Hire rate

3) Comparison of hire rate to the overall executive branch hire rate

4) New hire trend for the last decade

5) Kinds of positions filled

B. Recruitment

1) Types of recruitment efforts pursued

2) Cost of recruitment

3) Main recruitment sources from which new hires came

4) Percent of new hires from outside state government

5) Percent of new hires from outside the state of Iowa

C. Time-to-Fill Vacancies

1) Average time to fill a vacancy in the last fiscal year: a) from the date it occurred to the date it was refilled, b) from the decision date to refill to the date of refill, c) from the date of announcement to the date of refill, d) from the date the list of names was received until the date of refill, and e) from the date of the first interview to the date of refill.

2) Total and the average time spent by supervisors and others on the selection process. Cost of the time spent

D. Underutilization

1) EEO Categories that are underutilized for Females

2) EEO Categories that are underutilized for Minorities

3) Underutilized job classes (Use DAS-HRE Quarterly Report – for Females and Minorities)

4) Affirmative action hiring goals for current fiscal year

5) Goals set for the last 1-5 years and results

6) Number of lists of eligibles issued in the previous fiscal year for underutilized job classes

7) Of that group, number that actually included the names of protected class applicants

8) Number of protected class hires made

9) Number of Females needed to balance the organization's workforce

10) Number of Minorities needed to balance the organization's workforce

11) Number of Persons with Disabilities needed to balance the organization's workforce

IV. Engagement/Service Delivery

A. Compensation

- Average base salary
- Comparison to average executive branch salary
- Cost of overtime in most recent fiscal year
- Number total vacation days taken in most recent fiscal year. Number of average days per person that represents
- Number regular sick days taken in most recent fiscal year. Number of average days per person that represents

B. Training

- Number of staff that participated in some type of internal training during the most recent fiscal year
- Number of training sessions this represents
- Number of courses
- Amount of time spent in internal training

5) Cost of internal training and staff

6) Number of staff that participated Personnel Development Seminars (PDS) training

7) Number of PDS sessions attended

8) Number of courses attended

9) Amount of time spent in PDS courses

10) Number of staff enrolled in the Certified Public Manager program since its inception in 2001

11) Number of staff currently enrolled in CPM

12) Number that have graduated from CPM

13) Comparison of CPM participation to that of other agencies

C. Promotions

1) Percent of vacancies filled represented by promotions

2) Number of promotions from within the organization and number that came from other state agencies

3) Of those promoted, ratio of Females to Males

4) Ratio of Minorities to Non-minorities

5) Ratio of Persons with Disabilities to Persons without Disabilities

6) Average length of service of persons who received promotions

7) Average length of service in the position from which promoted

8) Percent of those promoted who had been promoted previously

D. Lateral Job Changes (Transfers)

1) Number of lateral job changes into the organization from other state agencies in the previous fiscal yea

2) Percent of vacancies this represents

3) Number of vacancies filled with contract transfers

4) Number of lateral job changes to other state agencies in the previous fiscal year

5) Percent of separations this represented

6) Number/percent of #5 above that were contract transfers

7) Number of internal lateral job changes in the previous fiscal year

8) Job classes in which these occurred

9) Number of internal transfers

10) Were any units more affected than others by these actions?

E. Recalls

1) Number of vacancies filled by recalls in previous fiscal year

2) Job classes this represents

3) Percent of vacancies filled these represent

4) Number of recalls that were previous employees

5) Number of recalls that came from other state agencies

V. Separation from Service

A. Overall separation rate

1) Separation rate for most recent fiscal year

2) Comparison to previous years

3) Break down of separations: number of voluntary versus number of involuntary separations; number of retirements; number of terminations

4) Comparison of separation rate to Executive Branch as a whole

B. Turnover by Gender

- Number of Females that left the organization
- Percent of the female workforce this represents
- Percent of total workforce this represents
- Number of Females that retired
- Percent of overall retirements this represents

C. Turnover by Ethnicity

- Number of minority employees that left the organization
- Percent of the minority workforce this represents
- Percent of total workforce this represents
- Number of minority employees that retired
- Percent of overall retirements this represents

D. Turnover by Age

- Average age of voluntary terminations (all, minus retirements, retirements only)
- Age groups that experienced the most turnover
- Age groups that experienced the least turnover
- Job classes that tended to lose the oldest employees (retirements and non-retirements)

E. Turnover by Tenure

- Average tenure of voluntary terminations (all, minus retirements, retirements only)
- Tenure groups that tended to experience the highest turnover
- Tenure groups that tended to experience the lowest turnover
- Job classes that lost the highest tenured employees
- Job classes that lost the lowest tenured employees

F. Retirements

- Retirement systems that cover the organization's workforce.
- If more than one, how do their retirement provisions differ from each other?
- Number of retirements that occurred in each system in the past fiscal year
- Number of retirements that occurred in each system in the past 2-3 fiscal years
- Average age and average tenure at retirement
- Job classes most affected

G. Projected Retirements

- Number of employees eligible to retire in the next year
- Number of employees eligible to retire in next two years
- Number of employees eligible to retire in next three years
- Number of employees eligible to retire in next five years
- Number of employees eligible to retire in next decade
- Job classes that could be most affected by potential retirements
- Segments of the organization that could be most affected by potential retirements
- How could potential retirements affect female representation in the organization?

- How could potential retirements affect minority representation?
- How could potential retirements affect representation of persons with disabilities?

H. Layoffs and Dismissals

- Number of employees laid off in the previous fiscal year
- Job classes affected by layoffs
- Units affected by layoffs
- Number of layoffs by union
- Number of non-contract layoffs
- Percent of Female to Male layoffs
- Percent of Minority to Non-Minority layoffs
- Percent of Persons with Disabilities to Persons without Disabilities layoffs
- Number of employees dismissed (involuntarily terminated) in the previous fiscal year
- Causes cited
- Units affected
- Percent of Females to Males involuntarily terminated
- Percent of Minorities to Non-Minorities involuntarily terminated
- Percent of Persons with Disabilities to Person without Disabilities involuntarily terminated
- Number of at-will employees dismissed or laid off
- Percent of Female to Male at-will employees dismissed or laid off
- Percent of Minority to Non-Minority at-will employees dismissed or laid off
- Percent of at will Persons with Disabilities to at-will Person without Disabilities dismissed or laid off
- Number of employees that chose to bump to other positions rather than be laid off
- Average change in pay grade for bumps cited in #19 above
- Job classes affected

I. Exit Survey Information

- Top five reasons why employees have left the organization
- Number of employees that would have reconsidered their departure
- Factors that would have caused them to reconsider
- Number of employees that were asked by their supervisor to reconsider their decision
- Number of employees that left for another/"better" job outside state government
- Number of employees that left for other state agencies

VI. Findings and Recommendations

A. Key trends and issues identified: What do we know about our workforce, today and three (or five or ten) years from now?

B. Needs

1) What do we expect from our workforce, today and three years from now?

2) What does our workforce need in order to meet our current and projected expectations?

C. Possible strategies to address trends and issues

D. Recommended strategies: How are we going to address those needs?

VII. Action Plan: How will we stage our efforts to address those needs?

A. Action steps

B. Resources needed

C. Timeline

D. Responsible parties

E. Communication Plan

IX. Evaluation

A. Results

B. Measures of success

C. Feedback mechanisms

D. Follow-up actions

STATE OF IOWA
AGENCY WORKFORCE PLAN TEMPLATE
(ABRIDGED)

Agency:	Date:	Prepared by:
Unit(s): *(list major cost centers)*		

I. **STRATEGIC PLAN – describe major future initiatives:** _____

II. **PLANNING FOR SERVICE**

A. Overall Workforce Demographics

1a. # FT positions _____
1b. # FT positions a year ago _____
1c. # FT positions 5 years ago _____
2a. # PT positions _____
2b. # PT positions a year ago _____
2c. # PT positions 5 years ago _____
3. # Other positions _____
4. Most frequently used job classes and EEO categories _____
5. Most populous job classes and # of positions in each: _____
6. By union, # positions: _____

B. Jobs by Sex

1. % female workforce _____
2. Most populous female-dominated job classes and #: _____
3. % of female workforce in top 5 most populous job classes: _____
4. Most populous male-dominated job classes: _____
5. % of male workforce in top 5 most populous job classes: _____

C. Jobs by Ethnicity

1. Non-white % of workforce _____
2. Comparison to overall non-white % of State's workforce: _____
3. Comparison to overall % of non-white in Iowa labor force: _____
4. % of workforce in each minority sub-group: _____

D. Jobs by Age

1. Average of department's workforce: _____
2. Comparison to average age of state workforce: _____
3. Job classes with youngest average age (more than 2): _____
4. Job classes with oldest average age (more than 2): _____

E. Job Classes by Tenure

1. Average tenure in the organization: _____
2. Comparison to average tenure in state workforce: _____
3. Job classes with highest average tenure: _____
4. Job classes with lowest average tenure: _____

III. **ENTRY INTO SERVICE**

A. Hires

1. # positions filled last FY: _____
2. Hire rate: _____
3. Comparison of hire to overall state workforce: _____
4. Kinds of positions filled: _____

5. Average age of new hires: _____

B. Time-to-Fill Vacancies (Average # days)

1. Date of occurrence to date of refill: _____
2. Posted: _____
3. Date posted to date list issued: _____
4. Date from list issued to offer accepted: _____
5. Date from posted to effective date of hire: _____

C. Underutilization

1a. UU Female categories: _____
1b. # needed to balance organization's WF: _____
2a. UU Minority categories: _____
2b. # needed to balance organization's WF: _____
3a. UU for PWD: _____
3b. # needed to balance organization's WF: _____
4a. UU Female job classes (attach Quarterly Report) – heaviest pockets of Female UU: _____
4b. UU Minority job classes – heaviest pockets of Minority UU: _____
5a. Female hiring goals this FY: _____
5b. Minority hiring goals this FY: _____
5c. PWD hiring goals this FY: _____
6a. If UU for F, # lists issued last FY for UU job classes: _____
6b. # of 6a that included F names: _____
6c. # of F hired from 6b #: _____
7a. If UU for M, # lists issued last FY for UU job classes: _____
7b. # of 7a that included M names: _____
7c. # of M hired from 7b #: _____
8a. If UU for PWD, # lists issued last FY for UU job classes: _____
8b. # of 8a that included PWD names: _____
8c. # of PWD hired from 8b #: _____

IV. ENGAGEMENT/SERVICE DELIVERY

A. Compensation

1. Average base salary: _____
2. Comparison to average state WF salary: _____

B. Training

1. # staff that participated in some type of internal training last FY: _____
2. # internal training sessions held: _____
3. # staff hours (or hours per person) spent on internal training: _____
4. # staff that participated in PDS training last FY: _____
5. # PDS sessions attended: _____
6. # PDS courses attended: _____

C. Promotions

1. % of vacancies filled last FY with promotions: _____
2. #/% internal promotions: _____
3. #/% external promotions: _____
4. Of those promoted, ratio of Females to Males: _____
5. Of those promoted, ratio of Minorities to Non-Minorities: _____
6. Of those promoted, ratio of PWD to non-PWD: _____

D. Lateral Job Changes (transfers)

1. # lateral job changes FROM other state agencies: _____
2. % of vacancies #1 represents: _____

3. # vacancies filled with contract transfers: _____
4. # lateral job changes TO other state agencies: _____
5. % of separations #4 represents: _____
6. #/% of #5 that were contract transfers: _____
7. # internal lateral transfers: _____

E. Recalls

1. # vacancies filled by recalls last FY: _____
2. Job classes filled by recall last FY: _____
3. % of overall vacancies these represent: _____
4. # recalls that were previous employees: _____

V. <u>SEPARATION FROM SERVICE</u> (most recent FY)

A. Overall separation rate

1. Separation rate: _____
2. # Voluntary separations: _____
3. # Involuntary separations: _____
4. # Retirements: _____
5. # Terminations: _____

B. Turnover by Sex

1. # F that left: _____
2. % of F workforce that represents: _____
3. % of total workforce that represents: _____
4. # F that retired: _____
5. % of overall retirements this represents: _____

C. Turnover by Ethnicity

1. # M that left: _____
2. % of Min workforce that represents: _____
3. % of total workforce that represents: _____
4. # Min that retired: _____
5. % of overall retirements this represents: _____

D. Turnover by Age

1. Average age of voluntary terms (all): _____
2. Average age of voluntary terms (minus retirements): _____
3. Average age of voluntary terms (retirements only): _____
4. Age groups that experienced the most turnover: _____
5. Age groups that experienced the least turnover: _____
6. Job classes that lost the oldest employees (3 or more – retirements): _____
7. Job classes that lost the oldest employees (3 or more – non-retirements): _____

E. Turnover by Tenure

1. Average tenure for vol. terms (all): _____
2. Average tenure for vol. terms (minus retirements): _____
3. Average tenure for vol. terms (retirements only): _____
4. Tenure groups experiencing the greatest turnover: _____
5. Tenure groups experiencing the lowest turnover: _____
6. Job classes that lost the highest-tenured employees: _____
7. Job classes that lost the lowest-tenured employees: _____

F. Retirements

1. # retirements (by system): _____
2. # retirements two years ago: _____

3. # retirements three years ago: _____
4. Job classes most affected by retirements most recent FY: _____

G. Projected Retirements

1. # eligible to retire within next year: _____
2. # eligible to retire within next two years: _____
3. # eligible to retire within next three years: _____
4. # eligible to retire within next five years: _____
5. # eligible to retire within next decade: _____
6. Job classes that could be most affected by potential retirements: _____
7. Segments of the organization that could be most affected by potential retirements: _____
8. Potential effect of retirements on F workforce: _____
9. Potential effect of retirements on Min workforce: _____
10. Potential effect of retirements on PWD workforce: _____

H. Exit Interview/Survey information

1. Top 5 reasons why employees left: _____
2. # that would have reconsidered leaving: _____
3. Factors that would have caused them to reconsider: _____
4. # asked by supervisor to reconsider decision: _____
5. # that left for another/better job outside state government: _____

VI. FINDINGS AND RECOMMENDATIONS

A. Key trends and issued identified: What do we know about our workforce, today and three (five or ten) years from today? _____

B. Needs
1. What do we expect from our workforce, today and three years from now? _____
2. What does our workforce need in order to meet our current and projected expectations? _____

C. Possible strategies to address trends and issues identified here. _____

D. Recommended strategies: How are we going to address those needs? _____

VII. ACTION PLAN: How will we stage our efforts to address those needs?

A. Action Steps

_____

B. Resources needed

_____

C. Timeline

_____

D. Responsible Parties

_____

E. Communication Plan

_____

VIII. EVALUATION

A. Results:

_____

B. Measures of Success:

_____

C. Follow-up Actions:

_____

Appendix A

Data Resources

- Department's strategic plan

- "Just the Facts," an annual compendium of numerous human resource-related facts listed by individual agency and in total for the Executive Branch for the given fiscal year and in some cases also provides trend information.

- "Facts" sheets developed for each agency, which, on one page, extrapolate much of the data found in "Just the Facts" for just that agency.

- Annual Affirmative Action Hiring Goals, which lists the job EEO-categories and protected classes in which the department is underutilized.

- Quarterly Job Class Underutilization List, which lists underutilized job classes by EEO-Category.

- Department demographics ad hoc reports generated by DAS-HRE upon request, usually as of the most recent pay period, but it can also be done for the beginning or end of the fiscal year or other points in time.

- State of Iowa Classification and Pay Plans for current fiscal year.

- Agency recruitment information: advertising costs, salary costs of those involved in selection process, travel costs, etc.

- Agency annual affirmative action plan (agencies with 25 or fewer staff are not required to complete an annual affirmative action plan)

- Quarterly AA Progress Report issued by DAS-HRE

- Hiring Opportunity Report – available upon request from DAS-HRE for any period back to July 1, 2002. Provides data for all eligible lists for underutilized job classes for which a hire was made, including total number on list, number of protected class applicant names on list, whether Non-Promotional/Promotional hire made, county of vacancy, and who was hired.

- Applicant pool data: ad hoc reports can be generated from applicant survey data in the aggregate for highest levels of education attained (Question C) and where the applicant heard about the vacancy (Question F).

- Time to fill – ad hoc reports are available for all positions by the agency within the time period designated they designate. Time to fill numbers cover:

    - Date of posting to date list of eligibles issued
    - Date of closing to date list of eligibles issued
    - Date list of eligibles issued to date of hire offer acceptance

  - Date of hire offer acceptance to date of hire
  - Date of posting to date of hire

- Applicant flow data – for any one position or combination of positions within an agency during a designated period of time, an ad hoc report can be generated showing the percent of Females and Minorities from whom applications were received, the percent qualified compared to the percent qualified from the general applicant pool, the percent interviewed, and the percent hired. This data is compiled in the aggregate and relates more to *adverse impact* than affirmative action. (Adverse impact is defined as any decision point in the hiring process where the percent of females or minorities passing that point is less than eighty percent of the general applicant pool. Such instances may indicate the presence of discriminatory practices, which must be addressed and eliminated.)

- Hire report – an ad hoc listing of all positions filled by the agency within a given period of time which can be sorted according to class title, hiring authority, date, county, and type of hire (promotional, non-promotional or other).

- Workforce surveys conducted by the department. This refers primarily to employee satisfaction-type surveys, which not all departments have conducted, but could also include other kinds of surveys or other ways of collecting information from your workforce.

- Department-maintained training and development data

- IITS training reports of participants, costs and individual employee training histories available upon request to the DAS-HRE Training Team

- PDS Training Catalog

- Certified Public Manager (CPM) annual report

- Promotion and transfer data available from DAS-HRE. This is a FOCUS report that can be generated for any department for any period of time back to FY 2000. This includes transfers into the agency from another state agency, transfers out of the agency to another state agency, and transfers within the agency. There is a cost for this report.

- Turnover reports provided by DAS-HRE upon request. These include age, length of service, and reason for terminating including retirements and voluntary and involuntary separations. Additional demographic information such as sex, minority, PWD, and job class can also be included.

There are also numerous budget resources that provide additional information, such as the current fiscal year budget for salaries and training plus recruitment and retention expenses.

Appendix B

Staffing Plan Worksheet

1. Functions (work being done)	2. Current staff (number in each job class and their funding source)	3. Projected Work to be Done (Assumptions/expected changes in work)
4. Proposed Staff Changes (# of positions and job class titles to be added or otherwise changed)	5. Results of Proposed Staff Changes:	6. Measurable Results (relates to #5 – How will we know progress is made toward desired result based on the Strategic Plan and Performance Plan?

Staffing Plan Template				
Organizational Unit and Job Class Titles	**Current StaffingLevel**	**Needed Staffing Level**	**Staffing Priority Level**	**Action Plan**
Unit 1				
Job Class 1				
Job Class 2				
Job Class 3				
Job Class 4				
Job Class 5				
TOTAL				
Unit 2				
Job Class 1				
Job Class 2				
Job Class 3				
TOTAL				
Unit 3				
Job Class 1				
Job Class 2				
Job Class 3				
TOTAL				
Unit 4				
Job Class 1				
Job Class 2				
Job Class 3				
Job Class 4				
Job Class 5				
TOTAL				
Unit 5				
Job Class 1				
Job Class 2				
Job Class 3				
Job Class 4				
Job Class 5				
Job Class 6				
Job Class 7				
TOTAL				
TOTAL Department				

Appendix C

Knowledge Transfer Strategies

The information provided below is an excerpt of the report issued by the National Association of Personnel Executives (NASPE) n June 2005 highlighting the findings of the state survey on knowledge transfer strategies conducted earlier in 2005.		
Job Aid		A job aid is anything that helps people perform in real time. A checklist is a job aid. So is a sign. Knowledge can be stored in the job aid and accessed through low-tech methods by performers when the need arises. Many states considered desk manuals, process maps, check lists, and guides to be types of job aids. Survey results indicate that Job Aids are one of the most commonly used methods of knowledge transfer. Job aids are used by 78% of the states who responded to the survey. Nearly ninety percent of those states found job aids to be moderately (56%) to highly effective (33%) as a knowledge transfer tool. Job aids were used across all levels of the organization, in a wide range of professions. Job aids are most commonly implemented at the operating agency level and tend to be used by a wide variety of agencies.
Mentoring		A mentor is an experienced performer; a mentee is a less experienced one. Rarely is a mentor a supervisor, since effective mentors should usually have no selfish interest in the development of another person. Mentors offer advice on what to do, how to do it and why it is worth doing in a situation. Survey results indicate that mentoring programs are one of the most commonly used methods of knowledge transfer. Seventy eight percent of the states responding had a mentoring program, and 83% of them indicated that it was moderately (56%) to highly effective (28%). Many states reported formal programs that were most likely to be used by single agency or group and programs tended to be supported at the operational agency level. Respondents also indicated that mentoring programs were most likely to be implemented in professional, managerial and executive levels of the organization.
Process Documentation		Popular as a result of ISO and the quality movement, process documentation involves flowcharting how work is performed. It may include special variations in what performers should do or how they should do it based on special circumstances. Clear process documentation, which may also include procedure manuals, can be helpful in storing and transferring knowledge from the more experienced to a less experienced person. Process documentation was used by 70% of the

		respondents and ranked third overall in terms of frequency of use. Eighty two percent of the respondents using this method ranked it moderately (50%) to highly effective (31%). This method was likely to be used in all agencies and for a wide range of professions, particularly at the technical and professional level. Process documentation is generally implemented at the operating agency level.
Best Practice Meetings or Studies		Best practice meetings or studies look for different processes or systems to perform work. Best practices are found in a variety of ways; through meetings of similar functional groups, polling employees or surveying for best practices. This method of knowledge transfer ranked fourth in use of all methods surveyed. Sixty five percent of the respondents indicated that they used best practices studies or meetings and 93% of the respondents ranked it as moderately (73%) to highly effective (20%). This knowledge transfer technique is used in a wide range of professions, with the highest degree of use in the professional and managerial levels of an organization. It is commonly used in a wide variety of agencies and most often implemented at the operating agency level.
Communities of Practice		A community of practice is a group that comes together to share information about a common problem, issue or topic. Such communities may meet in person or online. Cross agency groups such as accounting, procurement, IT and Human Resources were communities listed by several respondents. Some states said critical incidents or best practices are discussed at these meetings. Communities of practice are used by 57% of the respondents to this survey. Of those responding, 100% rated this knowledge transfer methodology as moderately (46%) to highly effective (54%). It was used in a wide range or professions, most often at the professional or managerial level. Implementation of this methodology was supported from a variety of levels in the organization, with 38% of the respondents reporting support from the Governor's office.
Retirees on Retainer		Retirees on retainer is typically having experts available to train or share specialized knowledge. While there were no examples of retirees paid on retainer, many states have a program that allows retirees to return to the workforce on a permanent or non-permanent basis, most using some type of program to allow retirees to continue to receive or offset their retirement benefits. Of the states that responded positively to this question (43%), none placed retirees on retainer. One hundred percent of the states using this method considered it to be moderately (20%) to highly effective (80%). In most cases, this methodology is used with a wide variety or professions, at all levels of the organization except clerical. The program was most likely to have Governor's

	office support.
Job Shadowing	A job shadowing program is one strategy to transfer knowledge from one person or group to another. A less-experienced performer is paired up with a veteran performer. The veteran is asked to share knowledge (and perhaps hands-on practice) in dealing with everyday problems in addition to the most difficult situations he or she has faced on the job. Forty three percent of the responding states indicated that they used a job shadowing program in their agency. One hundred percent of the state's responding indicated that job shadowing was moderately (80%) to highly effective (20%) as a knowledge transfer technique. Job shadowing, along with Retirees on Retainer, is considered by our respondents as one of the most effective ways to transfer knowledge. None of the states responding had a formal statewide program. However, job shadowing was used in a wide range of professions at all levels of the organization except clerical. Job shadowing tended to have Governor's office support and tended to be used in a wide variety of agencies.
Expert Systems	An expert system, usually automated, is organized around problems and how to troubleshoot them. A simple example is the "context-sensitive help" on most word processing programs. (If you call in to the help desk of a major computer company for help, the person on the other end of the phone is probably equipped with an expert system.) Common or difficult problems are logged into the system. Advice about troubleshooting and solving those problems is provided by the system. This method had the lowest effectiveness rating (78%) of all the methods surveyed, with 56% of the respondents indicating that the method was moderately effective and 22% of the respondents ranking it as highly effective. One state rated a limited system ineffective and another state did not rate the effectiveness of their method at all. This method and the electronic performance support system would have definite budget considerations and is used in less than 40% of the respondents. When used, it was applied to a wide range of professions, primarily at the technical level. The highest level of support for the system was spread fairly equally between the Governor's office, operating agencies and human resources.
Critical Incident Interview or Questionnaire	First described in the 1950s, the critical incident method takes its name from tapping the lessons of experience. A critical incident is a difficult situation. By documenting the experiences for the organization's most experienced performers, the organization can capture lessons. By documenting such "difficult cases" – and how they were handled – the organization is also laying the foundation for the development of a manual or automated system. Critical incidents provide an excellent foundation to training. Questions that are often asked in these questionnaires include "describe the situation and what

		you did," "what happened as a result of your actions," and "if confronted again with this situation what would you do." Thirty five percent of the states responding to this survey used a critical incident review or questionnaire as a knowledge transfer methodology. An additional 18% indicated that they plan to use this methodology in the future. Respondents were fairly evenly split on single (50%) versus multiple agency (50%) use as well as using this technique with a wide range or professions (50%) or only with certain levels of professions (50%). One hundred percent of the respondents using this methodology found it to be moderately (63%) to highly effective (38%). Implementation of this methodology was most commonly supported at the operating agency level.
	Electronic Performance Support System	Perhaps the most sophisticated of all methods of knowledge transfer is an electronic performance support system (EPPS). An EPPS combines artificial intelligence, an expert system, real-time e-learning methods, and a computer-based referencing system. As a user encounters a problem, he or she can access all organizational policies and procedures through the referencing system, gain advice from past experience for the expert system, and even learn in real time using the training component. Only 30% of the states responding to this survey indicated that they use this methodology. Respondents indicated that the use of Electronic Performance Support Systems is evenly split between single and multiple agency use. There is a similar split between use in a wide range of professions or single professions. This type of system is most commonly used at the technical, professional and managerial levels of an organization and tends to have Governor's office or HR office support. Eighty six percent of respondents ranked these systems as moderately (57%) to highly effective (29%).
	Story Boards and Story Telling	A storyboard is literally a group of pictures that tell a story. Think of a series of pictures placed on a wall or a poster that is intended to show how someone should perform in a specific situation. For instance, if you were trying to show someone how to perform the Heimlich maneuver, you could story board it. The same technique can be applied to other procedures to provide a graphic representation of what to do and how to do it. According to Rothwell, most wisdom in organizations is passed on through story telling. A story is a description of what happened in a situation. Most people have heard many stories about their organizations. If you hear "what really happened" you are hearing a story. Story telling is less structured than critical incident reviews but can serve the same end. It can be a most effective way of transmitting wisdom from one person to another. Storyboards and Story Telling are the least used methods

		of knowledge transfer among the states that responded to our survey. Only one organization reported using these methodologies. While story telling is a method of knowledge transfer that probably occurs often, it is more likely to occur in informally rather than in a controlled method or an established program with the intent to transfer knowledge. Georgia was the only state that said they would not use this method. They could not be contacted for a follow up interview.

Appendix D

Definitions

Ability	The power to perform an activity at the present time.
Adverse Impact	An employment action where the rate of occurrence for one group or protected class is less than four-fifths (80%) of the rate of the highest group.
Affirmative Action	"Action appropriate to overcome the effects of past or present practices or policies or other barriers to equal employment opportunity." (Iowa Code, Section 19B.1)
Behavior/personal characteristic	An attitude, aptitude, trait or personality factor, physical or other behavioral trait.
Behavioral indicator	A sub-step of a competency; a demonstrated activity or behavior that may be performed independently or be coupled with other behavioral indicators to perform the competency.
Benefits	A wide range of options for making the job more attractive in order to attract and retain quality employees: health, life, dental and other types of insurance; leave; deferred compensation; workers' compensation; employee assistance; tuition reimbursement, etc.
Compensation	The various kinds of direct pay received by the person: base pay, overtime, shift differential, bonuses, increases to base pay (merit, across-the-board), changes to the pay plan, etc.
Competency	Observable and measurable knowledge, abilities, skills and behaviors that must be applied to achieve results aligned with the goals of the organization.
Competency - Core	Required by all positions in an organization in order to be able to successfully perform duties required to meet the organizations' mission, vision, values and strategic plan. Typically, competency identification is first done at this level.

Competency - Common	Required by a specific organizational unit or type of position in addition to core competencies in order to successfully perform the duties required. Typically, this step comes next, as the organization moves deeper into competency identification and focuses on particular groups of jobs. Common competencies may be the same as certain core competencies but required at a higher level of proficiency in order to perform specific job duties. Common competencies may also include technical competencies, which refer to specific occupational skills gained from education or training or which are based on a particular area of expertise.
Competency - Position	A competency specific to a particular position or a core or common competency for a particular position that is required at a higher level of proficiency. Position competencies may also include technical competencies, which refer to specific occupational skills gained from education or training or which are based on a particular area of expertise.
Competency Assessment	The process used to identify a set of competencies that is aligned with an organization's mission, vision, and strategic goals. The assessment is developed based on information collected by studying what top performers do in the defined job context. This may be gathered in a variety of ways, including employee questionnaires, focus groups, and interviews with managers and employees.
Competency Model	A competency model is a set of competencies for a specific occupation, title series or level in the organization that, is likely to produce desired results. The model is often developed by conducting a competency assessment.
Competency Validation	The process of verifying that the identified competencies are indeed those most closely related to doing the job.
Data Analysis	The process of compiling and arriving at conclusions suggested by the data.
Data Collection Plan	Outlines what data is needed for the workforce planning study: how it is to be collected; time frames, assumptions and other limiting criteria to be used; who will collect it; who will analyze it; and due dates.
Data Inventory	The workforce planner's method of filing data and other information collected electronically. The Data Inventory differs from the Data Collection Plan in that it represents what was actually collected and the Data Collection Plan merely lists the

	data to be collected.
Demand Analysis	Determination of future staffing requirements through strategic and operational planning.
Duty	A specific task, activity or example of a work process that produces a product or result. It describes what is being done.
Employee Retention	Strategies to meet employee needs in the workplace (e.g., compensation, work environment, respect acknowledgement, status, etc.) such that an employee will want to remain within the organization, thus reducing an organization's rate of turnover.
Entry into Service	The organization seeks, finds and places the right people with the right skills.
Environmental Forecast	An assessment of social, technological, economic and political trends that could effect the organization's operations in the future.
Essential Function	Absolute requirements for producing critical job requirements/outputs. Can be an output or result as well as a duty or a competency required to perform that specific duty. Does not include marginal functions or job duties.
Function	A major responsibility of a program or agency with particular outputs and outcomes for internal or external customers. Examples include computer application systems development, contract management, customer problem resolution, and auditing.
Gap Analysis	A review and calculation of the difference between supply and demand of human capital in the organization.
Human Resource Management	The overall direction of human resource activities within an organization to ensure that they applied in the most efficient and effective manner to meet the organization's mission.
Individual Development Plan	A document which includes an assessment of an employee's current skills, and an outline of the way in which the employee will develop the knowledge, skills, and abilities needed to meet changing organizational needs and environmental demands and/or prepare to achieve future career goals.
Job Alignment	The process of ensuring that the intended purpose of the job, the assigned duties, and the results/outcomes required will

	effectively contribute to meeting the organization's strategic plan and specific unit objectives related to that plan.
Job Design	Organizing tasks, duties and responsibilities into productive units of work. It involves the content of jobs and the effect of jobs on employees…
Job Enlargement	Broadening the scope of the job by expanding the number of different tasks to be performed to make it more attractive and/or challenging to the incumbent.
Job Enrichment	Increasing the depth of a job by adding responsibility for planning, organizing, controlling and evaluating the job.
Knowledge	An organized body of information that must be known to be able to perform the job duties and essential functions to produce the expected results/outputs.
Knowledge Transfer	An organization's system of specific steps taken to ensure that the investment in its human capital/human talent continues to be available and accessible to the organization following the departure of staff.
Lateral Job Changes (Transfers)	The movement from the same job class to another position in the job class; persons may come from another agency or from with the current state agency. Transfers may occur under collective bargaining provisions, or they may involvement movement from one position to another, even for union job classes.
Leadership Development	A program or plan designed to develop the leadership skills of employees and to create a base of leaders within an organization who are capable of establishing direction, aligning and motivating people, and achieving desired outcomes. A leadership development program may include formal training or other skills-development strategies to develop competencies such as effective communication, problem solving, mentoring, team building, etc.
Models	Predetermined data elements used by most workforce planners to readily assemble the data in such a way that it can be compared to the workforce planning data of other organizations for benchmarking purposes.
Onboarding	The process of bringing new hires into the existing workforce in a strategic manner that recognizes their orientation and other information and support needs that optimizes their

	success in the job.
Organizational Implementation Strategies	Steps an organization may take to ensure appropriate staff are properly deployed to achieve program objectives and move the organization in the desired direction. Examples include staff redeployment, reorganization, or organizational restructuring.
Phased Retirement	A program whereby an employee who is or will soon be eligible to retire may transition into permanent departure from the organization on an incremental basis over a period of time.
Planning for Service	The organization determines the kinds of work to be done and the skills and number of employees needed to do it.
Position Classification	Analyzes one position's collection of tasks, duties and responsibilities and assigns it to the job class which most appropriately describes them.
Proficiency Level	The degree of complexity, difficulty, scope or independence required to apply a competency or behavioral indicator as needed in the job.
Recruitment	The process of identifying potential employees and encouraging them to apply for job openings. The process begins not with applicants, but with a broad strategic look at the organization's staffing needs including human resource planning.
Results	The actual "product" that a position is expected to produce; the actual work produced for customers.
Retention	Strategies to meet employee needs in the workplace (e.g., compensation, work environment, respect acknowledgement, status, etc.) such that an employee will want to remain within the organization, thus reducing an organization's rate of turnover.
Senior Workforce	Workers whose many years of experience with the organization have made them a key source of institutional information (memory) and expertise. Strategic steps to transfer their knowledge to the rest of the organization should be taken before they retire or otherwise leave.
Separations	Any instance of an employee leaving the organization, either voluntarily or involuntarily; separations represent the total

	picture of who left.
Separation from Service	People leave the work mix, requiring the organization to return once again to pre-employment planning for service as it determines how to deal with the challenges and opportunities generated by this change in staffing.
Service Delivery	The "work" (products and services) generated by those people is utilized to accomplish the mission of the organization.
Shift in Job Duties	When a resource (position) is critically needed for another similar job or not needed as much in the current job as it is needed elsewhere to do the same or similar job.
Shift of Positions	When the position is moved to another organizational unit, e.g., moving an Administrative Assistant 1 from one bureau to another.
Skill	The proficient manual, verbal or mental manipulation of people, data or things. This involves consistently demonstrating a pattern of behavior.
Skill Set	A group of skills, knowledge, and abilities that, taken together, is necessary for the proficient performance of a particular function.
Staff Development	Provide opportunities for employees to enhance their current job skills or develop skills that may increase their ability to obtain future state positions.
Staffing Plan	An action plan showing how the various needs, changes, etc. identified in the workforce planning process will be achieved over a specific period of time
Succession Planning	A process designed to ensure the continued effective performance of an organization by making provision for the development and replacement of key people over time. Succession planning is generally considered to be a strategy of work force planning.
Turnover	Voluntary separations, including retirements. Retirements should be handled as a distinct sub-group within turnover because they are prompted for different reasons.

Underutilization	An analysis that compares the agency workforce to comparable occupation groups in the Iowa labor force to identify areas where the workforce is less than the percent available for this type of work in the state's labor force per most recent Census data.
Vacancy Reallocation	The decision to change the duties and responsibilities of a vacant position in order to use the position in a different way than previously.
Workforce Analysis	The process of analyzing the current workforce and determining future workforce needs.